CAPER and the eCon Planning Suite Training
Webinar Transcript
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Chris: Great, thank you Jon. Good morning/good afternoon to everyone out there, so glad that you all could be with us. Bill, good morning to you as well, good to be here with you.

Bill: Good morning, Chris.

Chris: To give everyone a roadmap of what we are looking to cover today, we would like to give a quick overview of the CAPER process, some of the requirements of the CAPER, talk through the data that goes into the CAPER, especially focus on the Con Plan Goals and Accomplishments Report. Then go through a demonstration of setting up the CAPER and the process for completing the CAPER screens. We will talk a little bit about the CAPER and the ESG program, the ESG CAPER and the eCart Tool, give a few examples of troubleshooting common issues, and then open up the presentation for question and answer. We really want to leave as much time at the end of the presentation for you all to be able to submit your questions and for us to answer as many questions as we can.

As we are going through the process, if you do have a question, please feel free to type it into the question pod, that you don't need to wait until we move to the question and answer section. We will be organizing and gathering the questions throughout the presentation. So please feel free to ask those questions at any point in the presentation.

Our objectives for today's session: to describe to all of you the process for using the Con Plan Goals and Accomplishments MicroStrategy report, to understand the data that is going into the CAPER and how you can use that data to produce a sound and robust CAPER. Would like to talk through with everyone the process of completing the CAPER setup correctly and going through the submission process in IDIS, and then go through the troubleshooting of common issues, as well as in your Q & A, of identifying common issues and describing how to address them.

Before moving into the presentation, we'd love to get a sense of what your IDIS functions are, and your role that you play in setting up both the Action Plan in the CAPER. T J, if we could pull up poll question number three; we'd like to know which of the following IDIS functions that you are involved in. Do you develop the annual Action Plan? Do you develop the CAPER? Do you develop both, the Action Plan and the CAPER? Or you don't do either the Action Plan or the CAPER? We will give you all ten more seconds or so to answer.

Great. It looks like the vast majority of you out there are involved in developing both the Action Plan and the CAPER. Great, I think a lot of what we'll be talking about today very much relates to how you should be setting up and operating within your Action Plan, and how that translates into the CAPER.

Just to make sure we are all on the same page, in talking about the CAPER. I want to establish a couple of the basics of what is required in the CAPER and what is the purpose of the CAPER. The goal of the CAPER is to report and assess the progress made towards achieving your five-year and one-year strategic plan goals. The CAPER is your opportunity to share with your community, to share with your elected officials, to share with your stakeholders, and to share with HUD what you've accomplished over the past year, and over the past five-year period.

The CAPER due 90-days after the end of your program year, and CAPERs must be entered and submitted in IDIS with the caveat - and this is for some of you all who responded that you would be putting your first Action Plan into IDIS in 2016. As long as you have a paper Action Plan, that CAPER is still a paper-based CAPER except for the ESG requirement, but once your action plan is in IDIS, your CAPER is also in IDIS. One other very important caveat is for members of a consortium: all consortia grantees, lead grantees or participating grantees are responsible for creating, completing, and submitting their own CAPER in IDIS. Unlike setting up the Con Plan or setting up the Action Plan for participating grantee, where that responsibility falls on the lead grantee, the responsibility for setting up and completing the CAPER is the responsibility of each consortia grantee.

Before creating the CAPER in IDIS, at the end of your program year, there are a couple of steps that you want to make sure that you do, and we will talk you through in more detail in this presentation. You want to ensure that all amendments to any Action Plans or to your Action Plan is entered in IDIS and marked as Review Completed. The CAPER will automatically associate itself with the most recently approved Action Plan in IDIS, at the point of creation. If you have an amendment that has not been submitted to HUD or has been submitted to HUD, but it has not been marked as Review Complete, your CAPER will not associate with that Action Plan. Therefore, it is critical before setting up your CAPER in IDIS, that you check your Action Plan and confirm that your Action Plan is marked as Review Completed.

Second, you want to ensure that all of your activities, accomplishments, and data is entered into IDIS. Your CAPER will automatically be pulling all of that accomplishment data that you've entered for the program year and populating your accomplishments report. And again, it will pull that data at the point that the CAPER is created. So, before creating the CAPER, you want to make sure that all of that accomplishment data is entered for each of your IDIS activities. As a way to check that, and Bill will talk about this in a minute, is to run the Con Plan Goals and Accomplishments Report, this allows you to view the accomplishments that have been entered in IDIS, and will be associated with your CAPER. And you can do this as a check before creating your CAPER to make sure that the accomplishment data looks correct and is entered in IDIS.

With that, Bill, I will turn it over to you to talk about the CAPER data, and to talk about the Con Plan Goals and Accomplishments Report.

Bill: Thanks Chris. Good morning everybody, good afternoon everybody. My name is Bill Kubal and I have met a lot of you, but we are here today to talk about the CAPER sources of data. As you can see on the slide, there are three main sources to the CAPER data. Number one is that Action Plan, so as Chris mentioned, you need to make sure that the plan is submitted and reviewed complete in the system, because when you run your CAPER, it is going to look at the most recently approved Action Plan. It is going to base the information it pulls from the Action Plan on the most recently approved Action Plan.

If you - based on the poll, a lot of you actually do the Action Plan, so if you are familiar with it there is a gold screen in the Action Plan. It is an AP 20 and the goals are coming directly from that screen. When you look at your CAPER and Chris will show you a couple of examples, if you're wondering where those plan numbers come from, that is exactly where it comes from, it comes from AP 20.

Whenever I am doing a CAPER, I usually like to go back to that Action Plan and there's a neat little summary you can print out. I think it's the AP 23 screen, there is a button at the bottom that says print summary, or display summary. That way you can see all the goals, you can see the different descriptions. I think it is just a good way to verify what you guys said in the Action Plan, and it will allow you to verify the information in the CAPER.

The second part there is basically the data that you are entering at the activity level, throughout the year, into IDIS. Now, there is a couple of different ways to pull that information. You can of course just go into the IDIS screens, the accomplishments screens, you can - for the HOME, you can use that Search HOME Activity screen, and you can run basically anything that was completed within the program year in question should be showing up. A couple of other helpful reports are the BOSMACs - the PR O3 for CDBG. I know some people have used the PR 23, that's a Summary of Accomplishments report in the past, but I've run into a couple of glitches with that one, you might want to take note of that, the PR 23 not working perfectly, shall we say.

But the report we're here to talk about really is the one called the Con Plan Goals and Accomplishments Report. What that's going to do is its going to summarize all the information that should be showing up in the CAPER and it's just a MicroStrategy report. You can go in there and run it at any time throughout the program year, as long as you have an Action Plan submitted, and see where you're at. So it is not only a report that can be helpful at the end of the year when you are doing your CAPER, but throughout the year to see where you are doing in terms of progress. And oh, one more, we're going to get into that report in the next couple of slides, but the third part is the HMIS, and this is new for this year. It's a new requirement, so for all of you ESG grantees out there, there is a screen within the CAPER template called the CR 65. That is basically - you do not need to use anymore, that is going to be replaced with HMIS data that is going to be summarized in the eCart tool.

The eCarts is an Excel spreadsheet that imports all of these extracts that you get from the HMIS system, and we will touch on that, and you'll basically upload a copy of that eCart spreadsheet as an attachment to your CAPER. It gives you a lot of good detail and it gives HUD a lot of good detail about not only just the number of people who are served, but a lot of the good details and data points that are captured by HMIS. So that's a third source of the CAPER data.

So Chris, why don't we move onto the next slide. And we will start talking about the Con Plan Goals and Accomplishments Report. All right. So, this is a MicroStrategy report, if you are familiar with running reports out of IDIS, it's just going to be one of those reports listed in the shared reports folder, and you run it just like any other report. The only real difference with this report is, again, you have to have an approved Action Plan submitted in the system. And everybody on this call, at this point, should probably have one of those so that shouldn't be a big deal.

What the report is, is it basically lists all of your accomplishment data by the goal it was associated with, and we'll pull up a copy and give you a visual reference here. And it's basically broken into three sections. Hopefully, most of your information is captured in the first section because those are the accomplishments where the system will automatically assign it to a specific goal, and basically your work is done. You just have to go in and verify that the information is correct, but you won't have to manually edit any information in the CAPER. If it is showing up in the first section, that means you're good.

The second and third sections are accomplishments that were reported in the system, but for one reason or another, the system cannot basically tie that back to a specific goal. So why don't we go ahead and take a look at that report, Chris. There we go. Can you zoom in maybe a little bit? Thank you, sir. Like is said, the report is run and it is summarized into three different sections and in bold letters at the top, you can see it says accomplishments associated with a single strategic plan goal. So what it does is over on the left, it lists out the three different goals, in this case, the grantee had three overarching goals, and you can see a number one/two/three. Give you funding amount and then, for each goal, you are going to have one or more outcome indicators. So, for example, the first goal for infrastructure and public improvements, they had two goal outcome indicators. One, the number of persons assisted by a public facility or infrastructure, and number two, homeowner housing rehabs. And looks like they zeroed that out and that makes sense because that should be under the housing and development, so you can see there are zeros for that second one.

But, keeping going from left to right; we have the outcome unit of measure, which in that first one, for example, is persons assisted. But you can see you will be measuring different things and again, if you have experience with your Action Plan, you set these goals, you should be somewhat familiar with them. And then, we have two columns for the strategic plan, which is that three to five year period, the period of your Con Plan, not just the program in question, but the Con Plan to-date. So you have the expected and the actual and you can see there, that the system is calculating, again, based on the accomplishments entered at the activity level, it's going ahead and automatically assigning those actual accomplishments to a specific goal.

Now, again, it depends on the - each program has slightly different ways to do this. So for the CBDG - let me start at the beginning. So for each IDIS activity is assigned to a project, and each one of those projects, if it was included in an Action Plan that you submitted through IDIS, each project should be associated with at least one strategic plan goal. So that is how it makes the bridge from the activity to the strategic plan goal is through the project. Now, all of the projects that were assigned to a single strategic plan goal, those are the ones that are being summarized in this first section. Now, there are some projects where you assigned it to more than one strategic plan goal. So let's say there is an old dilapidated building, in the middle of your downtown, and you're going to knock it down and that's helping maybe with a goal you set up as removing slums and blight. And then you're also going to rebuild new apartment complex there, and that's going to help with your goal of affordable housing. In that case, you might have just very obviously, when you set up your project, assigned it to both of those goals since it's going to fall into those categories.

That's all well and good; however, you are going to run into confusion here when you come to the CAPER because HUD wants you to assign it to a single strategic plan goal so you don't end up double counting those accomplishments. So real quick, Chris, if you could scroll down to the second section: in that example, if I had assigned that project in the Action Plan to more than one strategic plan goal, that's where it is going to show up in this second section. It looks like this grantee did a good job, as they only assigned one - they only associated each project with one goal and if that happens, then all of your accomplishments will be in that second - or in the first section and none of them will be in this second section.

When you are doing your next Action Plan, if you do see a lot of projects listed in the second section - and this is just a piece of advice it's obviously not requirement - it just means more manual adjustments come CAPER time, but if you don't want to mess that and have to manually come back and do that, just chose the one goal that your project is, for the most part, mainly addressing and then choose that one goal and then you won't have to make any manual adjustments. I hope that makes sense; if not, please - I see there are a lot of questions out there so just go ahead and pop your question in the question box, and we can discuss it more detail.

All right. Just a few more points, Chris, if you can scroll back to the top. So, I did want to point out there are a couple of program differences in when your accomplishments are counted. For your HOME activities, those funded with the HOME dollars, if the activity is marked as complete, and it has a completion date within the program year in question, it should show up as an accomplishment, as an actual, on this report. So again, we have the two columns for the strategic plan as a whole, and the percent complete, and then we have two columns for the program year in question, and then percent complete all the way to the right. So that is for HOME.

For CBDG, if you are familiar with reporting accomplishments for CBDG, you will know that when you report your accomplishments, you assign the very first thing on that accomplishment page, you put in a program year in which to count those accomplishments. In my case, I did a street improvements activity, and when I reported my accomplishments, I put in 2015 as my accomplishment year, that means those will count on my 2015 CAPER. All right. If you have any questions, again, please get them in, but if you have your projects set up with a single goal, and you're reporting your accomplishments at the activity level; hopefully, most of your information will be in this first top section.

All right. Going now to the second section, we already talked about so let's get past the second section, and get down to the third section. Chris, you are doing a heck of a job jumping around and helping me out here. All right. There's the third section and you will see that this section is titled, accomplishments not associated with a strategic plan goal. Now, typically what you're going to see here are activities that realized accomplishments in the program year, but chances are they are from a prior program year, in which their project was not associated with a strategic plan goal. So this whole connection between the strategic plan goal and the projects really only started happening when you were reporting your Action Plan in IDIS. As we all know, especially with HOME projects and some CBDG infrastructure, and big capital development projects, I might have funded it in 2011 or 2012, and the project's not going to come online or be complete until this year. Maybe it is going to take three years, maybe it is going to take four years.

What you have here is a list of activities that, again, chances are are from prior years, but they came online and were accomplished or completed in the given program year. Now, what Chris is going to talk about is how to take this information and report it back into the CAPER. And what you will see is that in that CAPER template you will have the ability to go in and edit and change the information that the system populated for you. If you had a big rental development so to speak come online this year and you want - you want to get accomplishments, you want to get credit for those units, you might go ahead and bump up and make that adjustment in the CAPER template.

So, again, I really encourage you to run this report before you run your CAPER. Give yourself a chance to see what is being captured by the system, and what is not. If you don't see a lot of accomplishments showing up on this report, it may make sense to go into IDIS at the activity level, and again, report your accomplishments for those HOME activities, complete those that need to be completed for CBDG report accomplishments in the correct accomplishment year, and make sure all of that is in the system before running the CAPER template in IDIS.

All right. I think that's it for the Con Plan Goals and Accomplishments Report, and I am going to pass it back to Chris, who is going to walk us through the steps of actually doing that, and setting up the CAPER in IDIS. Chris?

Chris: Great, thank you Bill. And just to reiterate, this report is downloaded from the reports tab in IDIS, it is called the Con Plan Goals and Accomplishments Report. It doesn't have a PR number like most of the other reports in IDIS, but you can access it from the reports tab, it's called the Con Plan Goals and Accomplishments Report. Of the resources that we post on the HUD exchange after this webinar, one of those resources will be a short e-tutorial video, walking through what Bill just described with this report, and also demonstrating how to access and how to download this report.

Before talking about setting up the CAPER, we would just like to know a bit more information about all of you. TJ, if we could open up poll question number four. We'd like to know if you use the schedule or you have a schedule or a timeline for developing your CAPER? And we'll give everyone about 10 more seconds, looks like some of you are still responding. Great. So, the vast majority of you do use a schedule or timeline in developing your CAPER. For those of you who do not, strongly encourage you doing it, and for those of you who do, would make sure to include steps such as adding, downloading, and reviewing the Con Plan Goals and Accomplishments Report, and checking and confirming that your data, activity accomplishments is uploaded, your amendments have been submitted and approved onto that timeline. Adding all of those steps into your timeline will make your CAPER process go more smoothly.

So we've talked about the data, we've talked about the report, we are now ready to talk about actually setting up the CAPER. We will go into IDIS and we will do a live demonstration of this, but just as a reminder, all grantees including consortia participating members, are responsible for setting up and completing and submitting their own CAPER in IDIS. I am going to open up IDIS. And first thing in adding your CAPER and setting up your CAPER is you need to make sure that you have access to add a CAPER in IDIS. If you don't see this CAPER submenu here, under the plans, projects, and activities tab, check with your local IDIS administrator to make sure that you have access to add or to edit a CAPER.

In adding the CAPER, it is a very straightforward process. You just need to enter your program year, the title for your CAPER, and the version for your CAPER. As I said at the beginning of this webinar, IDIS will automatically associate your CAPER with the most recently approved Action Plan for that program year. You do need to make sure that those amendments have been submitted and have been marked as Review Complete in IDIS. Once you complete this information, it will automatically create a CAPER for you. And I'm going to come over here to the search, as I created one earlier, and I will just open that up.

Bill: Chris, we have a request, if you could maximize or zoom in a little bit on your screen so we can see the text a little bit better.

Chris: Sure.

Bill: Thank you.

Chris: There we go.

Bill: Much better.

Chris: OK. We will come into the test version that we created earlier for this and you will see the setup looks similar to your Con Plan or to your Action Plan setup in the search functionality. Open up and you will see these are the CAPER screens, these are the requirements for completing the CAPER, and you will see each screen is associated with the corresponding reg. Just like completing your Consolidated Plan, just like completing your Action Plan, if you have a question of what you need to be reporting on in your CAPER, you have the regs listed right there and you can go in, you can check and confirm what am I supposed to be reporting, what are the requirements that I need to include in my report.

We will open up a couple of these screens and we will open up the goals and outcomes screen. And again, you see the regs listed right at the top of the screen. And what we see is a table similar to the IDIS report that Bill was discussing; there are two tables in the Goals and Accomplishments Report. One that focuses on your accomplishments for the program year, and a second table that focuses on your accomplishments for the strategic plan period. You'll see the same set of what are the expected numbers and what are the actual numbers that you achieved in your accomplishments. Now, one thing that is very important to note on this, all of the data fields, the actual fields in the CAPER are editable. HUD understands - or HUD understood when designing the CAPER template, that you may be entering accomplishment data a little bit later or you may not - all that data may not carry over from the projects and the activities.

What you're able to do is you can manually adjust and manually edit those actual numbers to reflect your full accomplishment information, if what is showing up on the CAPER template is different then what you're seeing in any of your IDIS reports, or is different then what you've been tracking for your activity accomplishment information. Do know that if you are seeing and you know that those numbers are off, you are able to make those edits on the screen.

OK. Coming back to the main menu. And I do think it is important to note, on the Con Plan Goals and Accomplishments Report, you can run that report at any point during the program year, and it will give you a report of status to-date on the Action Plan that you are identifying, and on the program year that you are identifying to be used or to be the year and Action Plan for that report.

Jumping back, we will be talking about the ESG screens in just a minute, but I also want to point out a few elements of the administration screen. You will notice here that you have the opportunity to upload more attachments than you do in the Consolidated Plan or in the Action Plan admin screen. As Bill will talk about, this is where you will upload eCart information for reporting on your ESG accomplishments. This is also where you can upload maps, complementary data, comments from a community meeting, and any other attachments that you would like to include. You may be including additional reports from IDIS that you would like to attach to your CAPER, all of those attachments can be uploaded here, and you have five attachments to include that information.

Bill, before starting on the CAPER and the ESG requirements, any other broad comments you have on the CAPER template in IDIS?

Bill: You were just on the screen, that's a good segue. That screen you were just on, the CR 00, the administration screen. This is where you are actually going to load up eCart document, right where Chris has his cursor under those attachments; you will use one of those five slots to load up the eCarts information. So that was a good segue Chris, but no, otherwise I think you hit all the bases on the CAPER template.

Chris: The same data entry rules, one other point, the same data entry rules apply for the CAPER template as they do for the Consolidated Plan, and the Action Plan. Text boxes can include up to four-thousand characters. In each text box, additional content can be uploaded to the attachments, and there are a couple of places, not quite as many, in the CAPER template where you have the option of adding additional text boxes to the screens.

Bill, before segueing over to you, would just like to pull up poll question number five, for ESG grantees. Is your HMIS system ready to generate the ESG CAPER report? If we can open that up. OK, and it looks like just about 60% of you have your HMIS system ready to generate the report, and about 40% of you don't. So Bill will talk through that process and talk through the ESG requirements for the CAPER.

Bill: Thanks Chris. If we can flip back to the slide, I believe we're on maybe slide 16. And just a reminder folks, it does look like a few of you have your hands raised. In terms of questions, we're not going to be calling on anybody with their hands raised, if you do have a question there is the question box. So please, submit your written questions via the question box, and it should be one of those panels in the Go to Webinar dialog box. I also had one clarification, Beth pointed out that you can run the Con Plan Goals and Accomplishments Report at any point, that is true, but you need to be able to choose your Action Plan when you run that report, which one it is associated with. So there is a couple of dummy ones in there, but the one you want to choose is the one you have submitted, otherwise the goals may not make any sense.

And finally, I had one more reminder; a common question that we have gotten throughout was is there a PR number, like PR 01, PR 02 for the Con Plan Goals and Accomplishments Report? No, and in fact, this is kind of a special report; it does not have a PR number, but if you go in that shared reports folder, under MicroStrategy, it is going to be the first one in the top left corner, so it should be fairly easy to find.

Moving onto the CAPER and ESG. A new requirement for 2015 is the inclusion of eCarts. So eCarts is e-C-a-r-t. We're not going to get into a great level of detail about eCarts, but we do want to remind you that it is a requirement for 2015. Essentially, what the eCarts tool does is, again it is an Excel spreadsheet that is going to import some data extracts from your HMIS system, and basically pool all that information together for all of your ESG awards. Essentially, you recreate some of the tables that were included in the CAPER, so you don't have to manually do that yourself. But, beyond that, it is going to provide a lot of other data indicators that's captured by HMIS. You can use it as a tool to review your grantees' performance, or your subrecipients' performance, the overall grantee performance, and it's a really good thing.

I actually helped a grantee go through it, and it's really amazing the level of detail you are going to get. So, just going to the slide here, you are going to be required to complete CR 60, CR 70, and CR 75; those are still ESG-specific screens that you need to complete. What eCarts is going to replace is CR 65, so that was a lot of the goals, and basically the number of persons served by each component of ESG. So you're still going to have to do some work in the CAPER template on 60, 70, and 75, but 65 you can now leave blank.

For guidance on how to use the eCart, there is a webinar out there, and there's also good really directions. I walked through this myself a couple of days ago and the directions that are up on the web and also, embedded. So if you open the eCarts, the first tab will walk you through step-by-step on how to use eCarts and the process you need to follow. The one thing and this gets back to Chris' point about having your HMIS system ready to go, and also giving yourself lots of lead time to get this information in there. It doesn't take too long to import the data into eCarts itself, you don't even need a whole day. I was working with the state and they had over 50, they added 70 different subrecipients and it did not take that much time to get the data in there, but what you'll find is if you load the data up for a certain subrecipient, and they have some data errors, I believer the threshold is 25% for any of the specific questions. If they have errors, what you are going to have to do is go back to that subrecipient, and work with them to correct those errors, and that may take some time. Again, don't wait until the last minute for this. If you haven't done so already, reach out to your HMIS lead entity, make sure that the system is ready and able to generate the eCarts data extracts and run this. Give yourself some time to allow for any data corrections that may be necessary.

The other question, there was a question that came up, and I'm just going to address it now since we are here, and that related to the domestic violence, the victim service providers who may not be using HMIS. They are required to use a comparable system, so those may have issues as well, so there are some alternatives for them, but again you'll want to give yourself some time and make sure that they're able to generate the type and level of data that the eCarts system is providing. And we do have some HUD experts online, too, if we have any more very specific questions about that. Can we go to the next slide? All right. If you do have additional specific questions about the ESG portion or the eCart, please submit those questions to the Ask a Question on the HUD Exchange, and you'll be able to get some specific answers there.

If you don't feel that you will be able to meet the requirement and basically get the eCart information uploaded as part of your CAPER, whether it's the HMIS system is just not ready, or maybe you have some subrecipients whose data quality is not that great, go ahead and contact your local Field Office. And also, Marlisa Grogan, and her email is provided in the slide right there, at Headquarters, and just give them a head's up. What you'll want to do is basically develop a timeline in order to get that eCart information together. So they know it's a new requirement, and they're willing to work with you, but give them a heads-up. It is a requirement now, so we're going to have to work to get that information into the required format.

Chris, I am going to pass it back to you, so you take the lead on trouble shooting.

Chris: Great. And, before we talk about troubleshooting common issues, we would like to just do a couple more fact checks. TJ, if we could pull up question number six. Asking here: hhen should the CAPER be added in IDIS? After the end of your program year, to correctly associate activity accomplishments? After entering all activity accomplishments data for the program year? After completing and submitting any annual Action Plan amendments? Or all of the above? We'll give everyone a little bit more time there to respond. Still waiting on some of you and don't want to start calling out names of who we are waiting on. Great. So, 90% of you said, D; all of the above, and that is correct. You want to wait until the end of the program year, to make sure that all of your activities, accomplishment data can be entered into the system. You want to make sure that all of that data is actually entered through the activities, and you also want to make sure that any amendments that you have submitted have been marked as Review Complete in IDIS for your annual Action Plan.

One more poll question for members of consortia, poll question number seven. In a consortium, who should create the CAPER in IDIS? Is it the responsibility of the lead entity? Each consortium member? Or you're not a member of a consortium. We will give this another ten seconds or so, still waiting on a few of you. OK. So, 40% of you said that it was the responsibility of each consortium member; 20% said it was the lead entity, and another 41% of you indicated that you were not a member of a consortium. I want to reiterate option number two; each consortium member, is the correct answer. Every consortium member who is filling out an SF-424 and receiving funds from HUD, is responsible for setting up, completing, and submitting their CAPER in IDIS. That is different than setting up and submitting the Consolidated Plan, that is different than setting up and submitting the Action Plan. It is the responsibility of each participating member who is receiving CBDG or other CPD funds setup and complete their own CAPER.

OK. We'll move onto a couple common issues that we've seen in the AAQ, before opening it up to questions in a couple of minutes. Issue number one, accomplishment data includes accomplishments that are not associated with a goal. And this may be due to accomplishments being realized from a prior year and-or activities being associated with a matrix code that's different from the goal outcome indicator. To correct this, to line up that accomplishment data in that CR 05 screen, you can manually adjust the accomplishment information on that screen, based on the MicroStrategy report that Bill was talking about, based on other reporting or recording systems that you use, or other reports that you're downloading from IDIS.

Bill, anything you would like to add on this issue?

Bill: Yeah, if you have a project that wasn't associated with a goal in your Action Plan, if you're running that quality check before you submit your Action Plan, it should catch that error. Otherwise, I don't think - I can't think of a reason why a project would not be associated with a goal. Again, run that quality check before you submit your Action Plan, and it will make sure that each one of your projects is associated with a goal, and then it will put it up there at the top. The other thing I'd like to point out there, as we get through a couple more of these CAPERs and basically all of your activities are covered under an Action Plan that has been submitted via IDIS, this should become less and less of an issue. Because after we go through this cycle a couple of times, hopefully, all of your accomplishments will be associated with the Con Plan goal, and it will become less of an issue.

Chris: Great. Next issue, not all accomplishment data is appearing in the CAPER. This is likely because the CAPER was created before the accomplishment data was entered into the activities screen. Again, to reiterate, included in your timeline making sure that all of your activity data is entered in IDIS prior to creating your CAPER. If you're seeing some variations, you can run the Con Plan Goals and Accomplishments Report and that report will stay current with what is being entered as accomplishments for your activities. If you created your CAPER last month, accomplishment data was entered after that, you can run the Con Plan Goals and Accomplishments Report and see that updated information.

Bill, anything you would like to add?

Bill: Yeah, just for the ESG and the HOPWA grantees, HOPWA just came out with an announcement, not too long ago, that you no longer have to enter accomplishment data into IDIS. As we just discussed with ESG, ESG you're not entering the data directly into IDIS, it's coming from HMIS. So on those two programs, for ESG and HOPWA, you will have to manually add the data to the CAPER template. That's it.

Chris: Great. That concludes the presentation portion. We're now going to move to questions that you all have been submitting. We'll respond to as many questions as we can. We'll be responding to all the questions verbally. If we're not able to get to your question, please submit them to the HUD Exchange Ask a Question. You'll be able to get a response to your question through the AAQ portal.

Bill, we've had a number of follow-up questions on the eCart tool, and wondering if you could go over one more time how to submit that eCart tool. Are you able to upload the Excel document directly to the CAPER template, or are there any steps that you need to take in uploading that?

Bill: That's a great point, Chris. The CAPER in IDIS, it's not going to accept an Excel file, it's not going to accept an Excel attachment. So what you're going to have to do, and again the directions are very explicit and they do a good job of stepping you through how to do this. What you're going to do is you're actually going to open up a new Word document, just a blank Word document, and you're going to insert the Excel file as an object into that Word template. It's not very straightforward, but it's a great workaround because what you'll be able to do is save that Word document, and then upload the Word document, again with the Excel file attached as an attachment to that CAPER.

At this point, the screen you're at right now, where it says attachment one, two, three, four, five; you hit browse to attach, and at that point you're going to select the Word document that has the Excel eCart tool embedded as an object. So again, we could do a quick screen demonstration. I know we have a lot of questions though, so I don't know if we want to take the time to do that, but please folks, if you have any questions, look at the eCart tool itself. It has really good directions on how to do that and there's also that webinar back from October of last year that does a really good detailed job of explaining the steps to submit the eCarts as part of your CAPER.

Chris: And just to reiterate what was said earlier, we will make sure to include all of those resources on this webinar page after the delivery of this webinar, so everyone can access those many different resources on the CAPER that are out there, both for the ESG requirements, as well as other elements.

Another common question that's coming in, are there any additional reports, any additional elements that need to be included or uploaded as part of the CAPER? Any MicroStrategy reports? Entitlement grantees still need to submit their PR 26, and state grantees still need to submit their PER along with the CAPER. Again, those reports, and any other reports that you would like to include can be attached here, through the attachments and those can be saved as a PDF and uploaded and submitted as part of your CAPER. There may be other reports as well that you would like to include, that help tell your story, and by all means, you can upload those as well.

One other question that has been coming in quite a bit, and while we are here on this admin screen. Is there a quality check function for the CAPER, similar to that of the Con Plan and the Action Plan? You will see there is not a quality check here on the admin screen. What you do have, as I referenced earlier, is the associated regs with each CAPER screen, and you can make sure that you are responding to that corresponding element of the regulation.

Any other guidance, Bill, that you have on crosschecking to make sure that a CAPER is complete and thorough?

Bill: No. The way the CAPER was structured in the system, was to comply with all the reg citations as you mentioned. Now some of you, you're on really good terms with your HUD reps, hopefully. Check with them and make sure that there is nothing that they want to see, sometimes they want to see some other specific IDIS report, and they are the ones reviewing the reports. So try to make them happy in terms of getting it all into the template, so I would work closely with your HUD reps and just make sure that - see if there is any additional information they would like to see included in your CAPER template on top of what's in the regs.

Chris: Great. And one other comment just off of that Bill, a couple of questions on this comment, as well, you are able to change the status to open/in-progress field office review. And what that means is that you're able to continue to edit, continue to work on your CAPER, and at the same time, your Field Office rep is able to come in and view your CAPER. So if you have a question on how you are reporting out on other elements, if you have a question on a certain screen, or want input on a certain way that you have responded to something in your CAPER, you can just turn your status to open/in-progress/ field office review. Your rep will be able to come in, view, and provide feedback to you on your CAPER while you are continuing to work on it.

A couple of questions have come in asking about downloading a Word document of the CAPER. And similar to the Consolidated Plan and the Action Plan, you're able to download the CAPER as a Word document, using this Download as Word Document tool. There are several issues with the downloaded copy, where some of the information may not fully populate in the Word document, and the HUD eCon Planning Suite troubleshooting guide provides walk-around strategies and troubleshooting tips for any of those downloading issues. And so do just make sure to review and use that troubleshooting guide in all elements of the eCon Planning Suite, but especially in downloading the CAPER template.

OK. In coming back to questions. Let's see, Bill, have a question for you here. If you have an open ongoing project from a prior year, will that data feed into your current year CAPER, even though it wasn't tied to your strategic plan?

Bill: That's a great question so, if you have a - it depends on which type of program you are working with. So for HOME, if it's completed within that program year, it will show up on that dashboard report, probably in that third section. If it's not, if it's not completed, if it's still listed as open; it shouldn't show up on that report at all. On the other hand, for CBDG programs, you can report accomplishments for open activities, and if you report the accomplishments on that program year screen, on the accomplishments screen those should in fact show up. Again, if they are not tied to a specific goal, because they weren't set up in the Action Plan via IDIS, they're going to show up on that third section of the report.

And so you might want to add a little narrative, especially if it's let's say, way over-shooting your goal. You reported a goal of ten, and you ended up reporting a hundred units. You'll want to use that narrative in the CAPER to describe what happened. And say, well, we're reporting a hundred units as reported because this is coming from a prior year.

Chris: Great. Thank you, Bill. And, Marlisa, have a question for you on downloading data for the ESG CAPER. Grantees having issues with comparable database users being able to produce CSV files that will work with the generation tool. Can you provide any guidance on how to deal with comparable database users?

Marlisa: Hi, everyone. Sure. I'm really glad that the requester asked that question because I think it is, we're finding that it is a pretty common problem for subrecipients who are using comparable databases. So, the best thing to do is to contact both your Field Office, your CPD rep at the Field Office, and me. We're finding that there are a wide variety of situations for people, for subs using comparable databases. Some don't have software that can generate a CSV export and others are close, but they're just dealing with glitches. So the best thing to do would be to contact us and then we can work through your specific issue, and then look at options, as well as developing a timeline for your subrecipients to be able to come into compliance with the eCart requirements.

Chris: Great. Thank you for that. Bill, another question for you. Do you have any recommendations on the order in which a grantee completes the CAPER screens?

Bill: That's a really good question. I don't think so. Usually, when I am helping a grantee, we will take a first cut at each screen, and it is kind of an iterative process. You go through and you answer what you can, you identify things you still have to go back to the files and pull out, or maybe you have to talk with somebody else from another department. You go ahead and flag those, so I don't think it's necessary to go through in any specific order. I know there was one question about, can I run a Word document version of the report, and if you look on Chris' screen right now, you see you do have that option of downloading as a Word document.

So I think one of the questions was, can I just go ahead and print that out? Sure, you can go ahead and create a test CAPER at the beginning before you have all your accomplishments entered, or before you have any narrative entered, and see what it is going to look like before you - that might help you prepare. Sure, that's one way to do it. But no, to get back to the question, there's not any specific order you need to go in, in terms of completing the screens.

Chris: Thank you, Bill. Next question is asking for clarification on the CAPER being associated with the most recently approved Action Plan. By the time the CAPER is started, the grantee will have submitted and hopefully have approved, the 2016 Action Plan. Therefore, will our 2015 CAPER accidently be associated with the 2016 Action Plan? That's a great question; I just want to come back here to where you are adding the CAPER.

You will see one of the three fields of adding the CAPER, is the program year. So, the system will not necessarily associate with the most recent CAPER that is in all of IDIS. What it will be associating with is the most recent - excuse me, will not be associating with the most recent Action Plan in IDIS, but what it will be associating is with the most Action Plan from that program year, that you've identified here in this field. So, if you type in 2015 there, it will associate with the most recent 2015 Action Plan. It will not associate itself with the 2016 Action Plan. Great clarifying question.

Bill, a question for you here. A grantee just completed their first CAPER in IDIS and found that a number of the projects were associated with multiple goals. The grantee would like to adjust this for the remainder of the Action Plan and is asking what the process would be in revising future Action Plans to ensure that those projects are only associated with one goal.

Bill: Yeah, that's a good question. So, as we talked about in the presentation, if a project is associated with more than one goal, that just means that you'll have to manually assign those accomplishments to a specific goal. It may be a little too late to do that for the current Action Plan and it sounds like you've already submitted your CAPER. But in future Action Plans, I don't think you have to do anything to go back to those old projects. But, you're going to be setting up new projects in the new Action Plan, so just make sure that when you set up your new projects in the next Action Plan, you go back and you just assign that project to a single strategic plan goal. What it's going to do is on the project screens, it will list all your goals and all you do is put a check box next to which goal it's going to meet. So just make sure you find the one that it best suits, even though again it may in reality address two or even three or four different goals, choose the one that it most closely is associated with, and choose that one. And that will be your solution there.

Now, you may have already submitted your next year's Action Plan. If that's the case, then you want to amend it. The steps in the manual on how to amend your plan and part of that amendment could go back and just assigning it to a single goal. So that would be the way to go-forward there.

Chris: Great. Thank you, Bill. Next question, if you modify any of the actual numbers on the CR 05 screen, will those modifications to the actuals migrate to the report? The answer to that is no. Any edits that you're making on the CR 05 screen are just contained to the CR 05 screen. The data that is populating the Con Plan Goals and Accomplishments Report, that is pulling from your activity accomplishments information and that information is also populating the CR 05 screen. But, of course, it's populating the CR 05 screen at the point where the CAPER is created. If you do continue to add accomplishment information, the Con Plan Goals and Accomplishments Report will continue to update with that new accomplishment information.

Bill, anything that you would like to add to that?

Bill: No, that's right on.

Chris: Great. Bill, do you have any troubleshooting tips or suggestions on how to cross-check or confirm why the Con Plan Goals and Accomplishments Report may not be associating with all of the projects or activities in IDIS and associated with your program year? Any recommendations on how to deal with that?

Bill: So, the question is they're not showing up on the Con Plan dashboard report or they're showing up in the wrong sections perhaps?

Chris: Right, probably both.

Bill: So, again, the real lynchpin between the goal and the accomplishments at the activity level is really the project. So, chances are either the project was not associated with the correct goal as part of the Action Plan, or perhaps the accomplishments are from an older year Action Plan that was not submitted via IDIS. And then, the other piece would be what I think Chris brought up in one of the troubleshooting slides is, that it has an unexpected matrix code, and the matrix code wasn't really tied to the goal outcome indicator that was selected on the annual Action Plan. So, basically, all of your accomplishments should be showing up somewhere on that Con Plan dashboard report, so if they're not in the first section they should be showing up in the second or the third section.

If they're not showing up at all, chances are HUD - the accomplishments aren't either in the system, so for HOME, again the activity has to be marked as complete in that program year, in order to show up in that report. And for CBDG, the accomplishment have to be reported under the accomplishment detail screen with that program year field, that very first field you see on the accomplishment detail screen, it has to be the same program year. If you're reporting under an older program year because it's from an older Action Plan, you're not going to get credit in that new year for those accomplishments. So, there's a couple of different places to look. Again, just in summary, if they're showing up in the wrong place on that report, chances are it's something to do with the project - either the project's not associated with the right goal or maybe it's associated with more than one goal. And if it's not showing up at all on that report, chances are the data is not correctly entered at the activity level. So hopefully that clarifies some things.

Chris: Great. Thank you, Bill, for that guidance. One question asking about public comment period and the eCart tool. Asking if you're able to print off the eCart report included as an attachment to your CAPER for the public comment period. Absolutely, you are able to download and print the eCart report, and include that as an attachment or embed that into your ESG CAPER section, to be able to share all of that information as part of the public comment process.

Bill: You might not want to print out it in its entirety, but there are some basic screens, especially there's a summary screen with a summary of all the data that could easily be printed out. Part of the eCarts tool is basically a list of all the raw data, which is really really a wide table; you probably wouldn't want to necessarily bombard the public with all of those data points.

Chris: Great. And we are getting to several questions asking exactly where the Con Plan Goals and Accomplishments Report is in IDIS. I'll do a quick demonstration here, and I think we'll have time for a few more questions. Under the reports tab in IDIS, and again, if you don't have access here to your reports, follow up with your local IDIS administrator. And here this is loading and we're just going to stay in the IDIS training set here in UAT. We'll open this up, and under shared reports, you will see that one of the reports right here at the top of the screen for me is under the Con Plan reports and dashboards. In opening that up, I am able to export and run the Con Plan Goals and Accomplishments Report. So that report that Bill demonstrating and discussing at the very beginning, you are able to download that from the reports tab in IDIS.

One question that's come in several times is asking if you start the CAPER too early, are you able to go in and just create a second CAPER, and start over? The system is not designed to accept two CAPERs in the same program year. If you need to change a CAPER after it has been submitted and approved, please submit an AAQ, and somebody from the technical office will be able to support you with that. But, if you have created your CAPER early in the process and are wanting to then upload it with your accomplishment information, the best practice strategy is to use the Con Plan Goals and Accomplishments Report data and then manually update the CAPER in IDIS.

A couple of questions, and Marlisa, I would like to turn these over to you. The first question is if a grantee is working on their CAPER that is due soon, and they are able to complete the eCart for everything except for the domestic violence shelters, will the CAPER be approved? Or what steps do they need to take to include that information, and how should they communicate that both to the Field Office, and to the SNAPS office?

Marlisa: I would reiterate that because Field Offices may have different policies about how they want the CAPER submitted, some may prefer that recipients submit the data that they have, and then to follow up later with eCart data that would include data from comparable databases, for example. But, other Field Offices may want to wait for the full eCart submission all at once, rather than handling it two different times. So, again, I would encourage everyone to submit or send an email to me and their CPD rep as soon as possible. I realize that the due date is tomorrow for a number of you, so the sooner you can get in touch with us, the sooner we can adjust the due date and then finalize the process for you to submit data.

Chris: I am just going to pull up your contact information again, there, Marlisa, so everyone online can take note of your email address. One other question for you, if a grantee did not receive FY 2015 ESG funds, but still has leftover ESG funds from 2014, does the grantee need to use the eCart to report the beneficiaries using the 2014 funds?

Marlisa: Yes. So, the eCart requirement is triggered when you're submitting your 2015 CAPER. So, for some recipients, you could be spending up to three different grants at one time because of the two, the 24-month expenditure period. So, even if you did not spend 2015 funds, if you're submitting your 2015 CAPER you want to submit the eCart. So that's really the parallel, if you're submitting your 2015 CAPER, then start submitting your eCart, as well.

Chris: Great. Thank you for that. And we do just have a couple of minutes left, I know there's still many questions out there, and I do apologize we will not be able to get to all of the questions today. But, do encourage you, if you do still have any questions at the end of this session, to submit them to the AAQ portal. And if they are related to the ESG CAPER, please select ESG in step two. If they are related to the eCon Planning Suite more generally, please select the eCon Planning Suite in step two.

I do just want to take the last couple of minutes to show everyone where the resources on the CAPER for the eCon Planning Suite and for the ESG CAPER are located on the HUD Exchange. We will come back to IDIS, and we'll just look at two different HUD Exchange pages. The first is for the Consolidated Plan, and you will note there's a number of featured resources here. The first one I just want to talk about is the Con Plan in IDIS Desk Guide. For those of you who've been asking about is there a template or a sample CAPER that you can use or look at, the Consolidated Plan in IDIS Desk Guide walks through each screen and each question of the Con Plan, the Action Plan, and the CAPER. So if you're looking for what the information that you will be needing to discuss, and needing to report on is, you can review that in the desk guide.

The second piece is the troubleshooting guide. Again, I mentioned there are a few issues with the CAPER download when you download it as a Word document, and those are described here in the troubleshooting guide. This is something that HUD keeps current and as issues are identified, HUD is providing workarounds and strategies to make sure that you're able to fully use the system.

And then finally, mentioned that there was an e-tutorial video describing the Con Plan Goals and Accomplishments Report, and that e-tutorial is housed here. Under the eCon Planning Suite e-tutorials, there are a number of different tutorials on different elements of the eCon Planning Suite and you can view each of these videos, ranging anywhere from five to ten minutes, on the different elements of the eCon Planning Suite, one of which focuses on the CAPER and the CAPER MicroStrategy report.

And then lastly, under the ESG program, you are able to download and access the eCart Annual Reporting Tool, as well as the guide. As Bill said, the guide walks you through step-by-step of what you need to do to complete and to submit and upload the eCart tool to your CAPER.

With that, thank you all for participating. Thank you all for spending part of your day with us. I hope we were able to answer the questions that you had. If you do have any additional question, please submit them to the AAQ portal, and we will respond as soon as we are able. Thank you again.

Bill: Thank you.