Chris: Everyone, thank you all for joining us for today's CAPER and eCon Planning Suite webinar. I'm very glad you all could join us today. My name is Chris. I am with the Cloudburst Group. I am joined by Jon Kunz, also from the Cloudburst Group and Beth Hendricks and Marlisa Grogan from HUD. Beth and Marlisa, would you like to say hello?

Beth: Hi, everyone.

Marlisa: Hi, everyone. Good to be here with you.

Chris: Great. Thank you, Beth. Thank you, Marlisa, and Jon, thank you for being here as well. Today's webinar will last about 90 minutes. After the webinar we will make sure to post all of the PowerPoint slides, the transcript, the recording of this webinar on the HUD exchange, so if for some reason you have a follow-up question or if you'd like to see the content, if you're not able to stay with us for the whole 90 minutes, all of those materials will be posted on the HUD exchange and we will make sure to send out a link to where those materials are when we post them.

       As, you're settling in for the webinar and finishing your lunch or finishing your breakfast depending on your time zone, I ask that you all close your email and close any other programs. It will help with the running of the Go to Webinar software and can keep us all here together for this webinar. If you do experience any technical difficulty with the audio or the video portion of the screen sharing of the webinar, we ask that you try to log off then log back in or submit a question through the question pane in the Go to Webinar toolbar. We have technicians standing by to support you all.

       We do have a full—. We're asking that you submit any questions that you may have through the questions pane in the Go to Webinar toolbar. We will then be answering as many questions as we can verbally. We may not be able to get to all of your questions today and if we're not, you can follow up and submit those through the HUD exchange "Ask A Question."

       Before we get started on the discussion around the CAPER, I just wanted to talk through a couple of more general eCon Planning Suite updates. Hopefully you all are very aware that your 2017 action plans are due to be submitted by August 16. All 2017 action plans must be submitted by August 16 and those action plans, they must include your 2017 allocation. Beth, anything else that you would just like to highlight on that submittal for 2017?

Beth: Just remember that submission means that you have sent the plan in through the eCon Plan Suite and it says "submitted for review." In addition to that submission, it also means that your SF-424 forms and your executed original certifications have also been sent in to the field office by August 16.

Chris: Great. Thank you, Beth. Also, for some of you out there you may have received supplemental ESG funds. If you have, those ESG funds should be added as an expected resource under ESG in your action plan. Grantees musy follow all of their citizen participation requirements as set forth in the regs and in your citizen participation plan to be including those funds in your 2017 action plan. If you have any issues in completing that by August 16, contact your field office immediately. Go ahead and log off right now and reach out to your field office.

                For those supplemental funds you only need to amend your consolidated plan if you are adding or changing any Con plan goals. Otherwise, those funds are treated as ESG. Marlisa, anything that you would like to add to that?

Marlisa: I would just remind everyone that we're being flexible as far as the updates for the supplemental ESG, so reiterating that it's really important for you to meet the 8/16 deadline so we can give you additional time to meet the ESG supplemental updates.

Chris: Thank you, Marlisa. And now, turning to the CAPER, we'll start with a overview of the CAPER, the CAPER data, and how the CAPER relates to the eCon Planning Suite in your projects and your activities. I'll talk through the Con plan goals and accomplishments report as well as other micro-strategy reports that can be helpful in developing and completing your CAPER, the process of setting up and actually completing your CAPER screens, talking through CAPER and ESG and the requirements for the e-cart. We'll provide a few scenarios for troubleshooting common issues and then we'll open it up for Q&A.

                Before we get started, we'd like to just know a little bit more about all of you on the phone, so I'm going to go ahead and open up a couple of poll questions. The first poll question is what are your program year dates? What is your Con plan cycle? Is it to begin January 1, April 1, July 1, or October 1? This is just to give us all a sense of where you fall in your CAPER timeline.

                Okay. I'm waiting on a few more of you, so I'll give you all a few more seconds to respond. Looking at the results of the poll, the vast majority of you are on a July 1 to June 30 program year cycle, so your CAPERs are coming due within the next two weeks. For about 20 percent of you, it's a federal fiscal year cycle of October 1 through September 30, so you're thinking about your CAPERs near the end of this calendar year and then for a small number of you it's January 1 and the April 1 start dates.

                I'd like to ask just one more question to you all. I'm just wanting to understand what are your roles within IDIS? Are you responsible for developing the action plan? Are you responsible for developing the CAPER? Developing both? Or, are you not responsible for either the action plan or the CAPER?

We'll just give you a few more seconds if you're still completing the poll. It looks like about 70 percent of you are involved in developing both your action plans and your CAPERs. This is great because as we're talking through the structure of the CAPER setup, a lot of your CAPER setup really begins with how your Con plan and how your action plan are set up and designed in terms of your goals, in terms of your project and then how those filter through to your CAPER. And so, we'll take a few minutes to walk through those relations from your setup of your goals in the Con plan to the action plan to your projects and all the way into the CAPER.

Coming back to the PowerPoint, our goals for today are that we want to focus on identifying strategies and best practices to ensure that the data is properly populating your CAPER template and where you know to poll or to validate additional data that you may need in your CAPER too, talking through the process for using the Con plan goals and accomplishments micro-strategy report as well as other micro-strategy reports to complement and again to validate the CAPER. We'll complete a high-level walk-through of setting up your CAPER and the process for completing and submitting your CAPER in IDIS and then discuss common issues and strategies to address those issues that we've seen in— over the past couple of years.

With that, let's get started in talking through CAPER basics. The CAPER is your time in your Con plan cycle to really tell your story of what accomplished, to share all of your successes and all of the great work and projects that you've been working on over the past year or the past couple of years and to share that with your community, to share that with your city, your county council or state departments, to share it with your stakeholders, and to share with HUD. The CAPER is very much you just telling your story of the past year.

Your CAPERs are due 90 days after the end of the program year, so for those of you who were on that July 1 to June 30 start date, I'm sure you all are very aware that your CAPERs are coming due in the next several weeks. All CAPERs must be entered and submitted in IDIS. This is all part of the eCon planning suite and again, the linking of your data from your Con plan all the way through to your CAPER.

An important caveat for consortium grantees – and I know from looking at the list of registrants for today's session we have a number of consortium grantees on the line with us today – every consortium grantee, lead or participating, is responsible for creating their own CAPER in IDIS. While the Con plan and the action plan, those are set up by the lead grantee, every grantee – participating or lead in the consortium and this is seen for regional grantees as well – you are responsible for creating your own CAPER template in IDIS.

Let's start then in just looking at the relationship between data from your consolidated plan through your action plan down into your CAPER. Beginning here at the top of the screen, you see that we have five goals to the consolidated plan. As you move forward in year one, you may be doing any number of those goals in your year one annual action plan and you would carry those goals forward into your action plan and indicate that; yes, we are doing all of the goals or we're doing some share of the goals in your action plan.

In your CAPER for year one, you are then responsible on reporting on the accomplishments and the outcomes of those goals in your action plan that are then tied to your projects. Those are coming into your CAPER for year one and are the priorities for your reporting in your accomplishments and your outcome.

In year two, you may continue on with those three goals and you may also then do the two additional goals in your consolidated plan. So then, in your year two action plan you're now including these five goals, you're developing your projects and your activities based on those five goals, and then in your CAPER you are now reporting on all of those goals, on all of those five goals.

In year three, you may realize the added additional goals. There may be one more goal that wasn't in your Con plan that you would like to include. You'll need to go back to your consolidated plan and amend that goal or to amend your goals in your consolidated to be able to include that goal in your year three action plan and then ultimately be including and reporting on that in your CAPER.

We'll get into a little bit more about the project setup on the next screen, but really where all your projects are coming are here in that middle bar in the annual action plan. Those are really helping to inform your CAPER, but I think the important takeaway from here and something that Beth and I have talked a lot about in looking at the structure of the CAPERs in the eCon planning suite is that within the CAPER you're really reporting on your accomplishments as they relate back to those goals at the macro level. You're not reporting on accomplishments at an individual project level.

The story that you want to be telling is saying that we set this goal as part of our five-year Con plan and we included this goal as part of one-year action plan and now you're telling the story of the accomplishments and the outcomes related to those goals.

Beth, before we move on to talk about the project structure in a little more detail, is there anything that you would like to add on this slide?

Beth:	Chris just made a really important point. We're really used to looking at projects and counting accomplishments assigned to each individual project. The difference is with the regulations for the CAPER is that it's really about how the accomplishments align with goals. It never really speaks about specific projects, so if you had a project that you assigned more than one goal to, we'll need to talk about doing some reconciliation of that accomplishment data so that we're really tracking that accomplishment data to each goal and not to each project. We'll talk about that a little further in this webinar.
Chris:	Thank you, Beth. Now looking and really wanting to focus in on how the consolidated plan and your strategic plans tie to your annual plan goals but then tie down into your projects and come back into your CAPER, starting here at the top in the red boxes we'll just focus in on one potential strategic plan goal: rehabbing existing housing stock. In developing that goal, setting the five-year outcome metric, the goal outcome indicator for that goal as 200 units being rehabbed and moving from the five-year period to the one-year annual action plan period, again you're including that goal as your goal for the year and for the year, you're indicating that your goal is 40 units to be rehabbed.
	You're assuming that you may just be doing 40 units per year to hit that five-year goal of 200. From the annual action plan, you then are breaking that data down into your project and ultimately into your activities, but in the action plan it stays here at the project level and you're establishing the project of homeowner rehab and again indicating that your goal outcome indicators are 40 units rehabbed.
	Now, when it comes time for your CAPER, what you are reporting on is how you did in your performance as it relates to your annual action plan and to your consolidated plan. So, you're reporting on your strategic plan goal of 200 units expected and annual action plan of 40 units and then maybe your IDIS accomplishments through the project were only 35. Your CAPER is where you're reporting back on your success as it related to the annual goal and to the strategic plan goal.
	I know I sound a little bit like a broken record here, but I think the important thing that we want to take away from these two slides is that with your CAPER is– everything is reporting back into your goals and to your accomplishments in achieving and reaching and fulfilling those goals that you set forth at the strategic plan level and at the annual level.
	So, in developing your CAPER and in telling that story of your accomplishments as they're tying into your strategic and annual plan goals, your CAPER is pulling from a number of data sources. It's pulling directly from your action plan, from your annual plan goals in saying that we anticipate X number of goal outcome indicators. In the example on the left slide, 40 rehabbed units was the plan number; it is then pulling from your

activity accomplishment data within IDIS, where you're actually entering these were the accomplishments for these activities and these activities are then tied to projects that are then of course tied back to those annual goals and your strategic plan goals.

For the ESG portion of the CAPER, there's data that's pulling from HMIS and Marlisa and I will talk more about that in a little bit. Again, the important thing here is that the CAPER is organizing all of your accomplishment data by the goal and not by the project and not by the activity.

Now, just by you all, in the Go to Webinar panel you are able to raise your hand up or down. So, go ahead; if you're completed, I'm going to lower everyone's hand right now, but if you completed the CAPER for your jurisdiction last year, go ahead and raise your hand. Okay, so a good number of you were involved in completing or developing your CAPER last year. I'm going to lower everyone's hand again. We're going to spend a few minutes now just talking through some of the issues that may come up in gathering CAPER data and activities that you should make sure to implement as workarounds to those CAPER data issues.

So, the CAPER is pulling all of the data from IDIS and there are a number of different reasons why that data may not be populating correctly. The first, and this is one of the most common issues we see, is that the most recent annual action plan is intended to be the basis for your CAPER. It is not marked as review completed. The CAPER defaults in setup to associating with the most recently review-completed action plan in the system. If, when you set up your CAPER that action plan is not marked as review-completed, your CAPER will not be pulling from that action plan.

If you have your status here set to open and in progress or if it's set to submitted or if it's an open in progress field office review, or if it's waiting for modification you need to either go ahead and submit that plan or if it's been submitted follow up with your field office and make sure that they are going to set that as review completed prior to creating your CAPER in IDIS. When your CAPER is created in IDIS, it is pulling a snapshot of all of your data at that point in time. So, if that action plan is not review-completed at the time that you create your CAPER – even if you do it the next day or two days later – it won't update any of the data in your CAPER.

So again, those action plans must be marked as review-completed and if it is just marked as submitted, request that your field office change your action plan to review completed.

A side to this are any amendments that you may have. And again, let's just go ahead and do this. I'm going to lower everyone's hand again. If you have completed or you are going to complete an amendment in 2016, go ahead and raise your hand. It looks about half of you, maybe a little more than half of

you, have raised your hand. I'm wondering how many of you actually physically raised your hand in asking you to raise your hand up there, too. I will admit that I raised my hand as a demonstration in asking you all to raise your hand in the Go to Webinar. For those of you who are doing an amendment to your 2016 action plan, that amendment needs to be submitted and also needs to be marked as review-completed prior to creating your CAPER.

So, if you have an action plan that you've created and it's set to open and in progress and you're submitting it for review, you need to make sure that amendment is marked as review completed. Beth, I think you would agree that this is maybe one of the most common issues that we see in issues with data around the CAPER setup of that amendment not being marked as review-completed.

Beth: I would agree. If there's anything you take away from today's webinar, one of the most important pieces to start in understanding the eCon planning suite is that the review-completed status is basically telling the system download information from those plans into the next document – whether it happens to be the next CAPER or the next annual action plan – and as long as your plan or your CAPER are not in that status, the system doesn't know to pull any of that prior information into the next document.

So, it's really important. 'Review completed' tells the system to pull information into that next document that's being created. It may be an issue this year particularly because our allocations came out so late and you got such a late start on being able to start this year's annual action plan. It's going to be really important that you make sure your plan is in 'review-completed' prior to starting that CAPER document. It's going to take some time this year because your field offices are now either reviewing or about to review your annual action plans.

In addition to that, while they're doing that review process they aren't able to change the status to review completed until the congressional release process for your funding and your grant agreement goes out the door to you as well. So, there's going to be some lag time. You need to be aware of that before you start the CAPER in the system.

Chris: Excellent. Thank you, Beth, great point. Again, all action plan amendments must be marked as review completed. Other reasons your data may not populate correctly: you may have duplicative projects set up in IDIS. When you create your action plan, and on the AP35 screen you are creating those projects, those projects automatically copy over into the project's tab in IDIS. So, you do not need to create that same project as a new project under the project's tab. When you create it in the action plan it automatically carries over into the rest of IDIS.

Just as an example here, just to see; if you have your public services project that you created in your annual action plan – let's just say here in this example that I created it's IDIS project ID number three that was created in your action plan – you don't then need to go and create an additional project as the same project. If you're having duplicative projects and associating activities with the one that is not tied to your action plan and therefore not tied to your goals, both at the annual and at the strategic plan level, that data won't carry forward.

You have two options if this occurs. Option number one is to re-associate those activities with projects created in the action plan. So, if you have an activity tied to a project that might be a duplicative project you can go into IDIS and you can change the association of that activity to be with the project that is tied to the action plan. Option number two is to amend your annual action plan to include the correct project that has your activities tied to it.

Something I always recommend to grantees that I would encourage all of you to do is that as you're finishing your action plan setup go into your projects tab, review all of the projects for that year and just make sure that they're all correct under the projects tab, that everything carried over and you didn't accidentally create a duplicative project or you didn't accidentally create a project from a prior year that you can confirm under the projects tab that you have all of those projects right there.

Just a few more reasons why data may not populate correctly in your CAPER. It's that prior-year projects were copied into the current-year action plan. Just as a reminder, we've done a number of eCon planning suite and Con plan webinars this spring and summer and something that we've talked about in a few of them is when you create a copy of your action plan it will automatically copy your prior-year projects forward into that new year and you're not able to change or amend the date of those projects. So, if you copied your 2015 action plan to 2016 it would carry forward your 2015 projects. You'd need to go into IDIS and remove those projects and create new 2016 projects.

Again, this is just here as you're looking at your program year within your project tab you'll see and you'll want to make sure this year that for 2016 that you're looking at 2016 projects. Just a reminder, this is something we see throughout IDIS, throughout the eCon planning suite both in action plan and CAPER setup, but when you do copy your action plan you will need to remove the copied projects and update those projects for the current program year.

Finally, it's that your accomplishment data may not be—. Again, remember at the point that you create that CAPER, that CAPER is taking a snapshot of your program at that given time. So, if you not yet entered any of your accomplishment data for those activities into IDIS, that accomplishment data

won't automatically populate into your CAPER. That CAPER is only pulling from those accomplishments that were entered prior to creating your CAPER.

Before moving on, here are just a couple of clarifications and there are some great questions coming in. Please do continue to enter those questions. We'll be getting to your questions in just a minute. For your 2016 CAPER, you need to make sure that your 2016 action plan is marked as 'review completed.' Everything is tied there by the program year, so to start your 2016 CAPER you need to make sure that your 2016 program year action plan is marked as review-completed.

Again, here it's just highlighting again that accomplishment data must be entered in IDIS. For HOME projects, just a reminder, that the accomplishment data is to be entered once that activity has been completed. I'm sure there are a number of you on the line thinking; I've already started my CAPER and we're seeing some of these data issues. Do we need to go in and create a new CAPER template? What do we need to do? Know that there are a number of ways to pull that data, update that data in other ways and then manually enter it into the CAPER template. That's using the Con plan goals and accomplishments report and other micro-strategy reports that we'll highlight in just a minute, and then being able to manually update those data fields in the template.

I think for everybody on the line regardless of the point in which you're creating your CAPER, there may be some manual updates or edits that you need to make to the data in your CAPER. If you have a project that's associated with multiple goals you'll have to associate that data with one goal and not both to make sure that you're not double-counting that data as you report out to your community and report back up to HUD. So, everyone is doing some manual updates to the data fields in the template and it's your responsibility to review and validate all of the data using the Con plan goals and accomplishments report and using the micro strategy reports that we'll talk about in just a few minutes.

So, those IDIS reports are helpful. To start, there are two IDIS reports for all grantees. The PR26 needs to be submitted as part of your CAPER. For state grantees, the PR28, the CDBG state pro report, needs to be submitted as part of your CAPER. In addition to those two reports, the PR03 and the PR22 are tremendously helpful reports in providing an update of activity data for CDBG and HOME and the PR33 and the PR91 provide great data on the finance side for HOME and for ESG.

We do have Jon with us today really to be able to talk through more of the linkages with IDIS and the additional IDIS reports. Jon, anything else you would just like to share in these reports and how they're helpful on the CAPER data?

Jon: Yes. Sure, Chris. I'll just add a few little points. I think you covered the broad issues just great. On the PR03 report, again as Chris said earlier it's really good to start using these reports prior to starting your CAPER so that you can get the IDIS data right from the beginning and then once you're ready to create your CAPER it's really pulling in the best data that you have available. One thing that some of you may use and some of you may not is the Bosmac report related to the PR03 report, which is an Excel version. I just find that tremendously helpful in being able to filter and do analysis on the data just to make sure that it's got everything– all the accomplishment data that you need in there to look at the expenditures and so forth as you go through a detailed review.

Similarly, the PR22 on the HOME site is a helpful report. There are a couple of nuances there. One is something that you may be aware of; there were some issues with the report, but I understand that the issues have been addressed and the report should be reliable now. And then, when you do run the PR22 you must select one of two parameters; either open activities and activities completed or cancelled in the last year or all years.

One thing to remember about the PR22 is that it's based on the 12 months prior to the date the report is run so it is best to run all selective years when you have that choice of parameters. You can download it into Excel and then filter by completion date. That's just a way to make sure you're really getting everything within the program year unless you happen to be running the report on the very last day of your program year.

I think, Chris you've already talked about the PR26 and PR28 report, which are really those important financial reports that do require user input, so again that can be pretty complex. There are some good materials on the web to review there and we'll try to answer any questions that may come in.

On the PR33 report, the HOME matching liability report, there are a couple of things to keep in mind. Again, that's the report that displays the HOME match liability and to use it to calculate data for including it in the CAPER. Remember, it's required by the CAPER that the match data in this report is based in the federal fiscal year and not your program year. That's just something to keep in mind.

The PR91, again that's another great report for ESG grantees. It breaks out the financial data by activity and sub-recipients, which is of some interest to them. I do want to mention one other one. The PR23 summary of accomplished report, some of you have been at it for a while and may have used that and that's a great way for getting some cumulative data that you might want to cross-check, so that is running properly again. So, those of you in the past have liked that report and want to use it again, again it's not required as part of your CAPER, but many of these reports are just good

sources to help validate your data prior to starting the CAPER and then even after you've started your CAPER if you need to make any adjustments.

So, those are a few nuances there, Chris.

Chris: Great. Thank you, Jon and I think that the most important takeaway here is the PR26 and the PR28 are the only two required reports or entitlements interred by grantees respectively. The others are just recommended reports to help support your gathering of CAPER data, your validating of CAPER data and to supplement or complement elements of your action plan.

I'd like to continue to the Con plan goals and accomplishments report. This is also a micro-strategy report. It does not have a number, so those of you looking for it in micro-strategy it is called the Con plan goals and accomplishments report. This is a fabulous report to use prior to creating your CAPER. It can give you a snapshot of all of your accomplishment data associated with a action plan with a program year and it lists out the data by accomplishment data associated with one strategic plan/annual action plan goal, those accomplishments that might be associated with multiple strategic planner and action plan goals. So, that would be if you have a project that is tied to two different strategic plan goals.

Going back to the example of the homeowner rehab units, maybe that is tied to a goal for preserving housing stock and it's also tied to a neighborhood stabilization or community stabilization goal. That would show that accomplishment data for projects that may be tied to multiple goals. Finally, it includes accomplishment information that may not be associated with any strategic plan or action plan goal. That could be accomplishment data from projects and activities that were from a prior Con plan cycle or that may be from projects that were following that example of duplicative projects, projects that were not set up and linked within your annual action plan and tied to your action plan and strategic plan goals.

We're going to just pause here and pull up an example of this report. Hopefully this is zoomed in just to give everyone a sense of what is the data that you can download. So, in downloading the Con plan goals and accomplishments report, again you'll see it's broken down into these three sections. First, there are the accomplishments associated with the single strategic plan goal and what we see here is we see the goal – in this case the first one is economic development – we see the corresponding goal outcome indicators that were included in projects tied to that goal.

And then for each of those goal outcome indicators we see what was expected over the strategic plan period. Over here it was jobs created or retained. The five-year goal was 25. The actual outcome to date is seven. Here we're seeing that you're 28 percent complete, and then breaking down by the outcome expected for the annual cycle, so here the goal was five jobs

created or retained and the actual was seven, so they're indicating that the percent complete is a little bit higher.

For me, again this is a report to use before creating your CAPER because you can see the accomplishment data to date and check to make sure that a lot of that accomplishment data is populating here because your CAPER is pulling from the exact same data source that this report is pulling from.

Scrolling down, this is where you would see accomplishments that are associated with more than one strategic plan goal. So again, if you have a project that's tied to two or three or four goals, those accomplishments would be here. And then there are accomplishments that are not associated with a strategic plan goal. Most frequently these are accomplishments that are realized during the program year that are tied to projects and activities that are associated with a prior Con plan cycle. So, if that Con plan cycle ended in 2016 but it then included this project or this activity, those outcomes would not be appearing in the first tab of accomplishments because they're not tied to a current Con plan strategic plan goal.

Beth, before we move on from these reports is there anything that you would like to add?

Beth: I can't say it enough. It's really important that you use the reports that Jon went over in advance of all the micro-strategy reports to get your data really nice and clean and lined up prior to creating the CAPER. That will help minimize the amount of reconciliation you have to do in the CAPER document.

To go back to the basics for those of you who are new to running reports, there is a IDIS user's guide on the HUD exchange and there is a section within that guide on how to generate reports so that it will help make life easier for you. For the PR26 report, this Spring we just issue a new troubleshooting guide that walks you through step-by-step how to use the PR26 to make sure your financial information is correct on that as well.

Chris: Thank you, Beth. And so with that, Jon a number of questions have come in. Let's just take a quick pause before we jump over into IDIS and then into ESG real quick for a couple of quick questions.

Jon: Okay, Chris. Yes, we do have again a couple of questions that have come in. Let me start with this one; if I set up my CAPER before entering my accomplishment information, do I need to create a new CAPER?

Chris: That's a great question and no; all of those reports that Jon listed off earlier and Beth just highlighted again along with the Con plan goals and accomplishments report are great reports to help validate the data that should be in IDIS or in your CAPER. You can use that and then we'll show you here

in a second that you can actually go in and manually update all of the fields in the CAPER template.

Beth: If I could just add, Chris that while you're updating your CAPER document to show what your data really looks like, it's also important that you go back into IDIS and update any information you need to complete there as well. The reason why is that your field rep is also pulling those reports to help kind of look at your CAPER data to make sure that it is accurate and correct. If you haven't gone back into IDIS to complete any of that data, you're going to be looking at two different sets and make your life easier for your field office rep to approve your CAPER quicker and faster.

Chris: Great. Thank you, Beth. Jon, are there other questions coming in?

Jon: Yes. We've actually gotten a couple related to this one. The question is how do I enter accomplishment data from prior Con plan cycles? So another one sort of similar to that was that they've had some accomplishments from 2016-2017 and perhaps those were prior-year cycles and they're not reflected in the CAPER. How can I make sure those accomplishments are included in the CAPER?

Chris: Absolutely. I think this one of the most common issues that we see related to the CAPER; is making sure to add those prior-year accomplishments back in. The best place to gather that data is here from the Con plan goals and accomplishments report where you're able to – and again, let me just pull up the Excel version here that we have – where you have the third set of data that is accomplishments not associated with the strategic plan. Assuming that those accomplishments have been entered and recorded in IDIS under the activity tab, that data should be populating here, in the micro-strategy report along with the other activity reports that Jon highlighted.

         You can pull that accomplishment data and then manually enter it into your CAPER in the CR05 accomplishments screen.

Jon: Okay. One other question that came in that should be a quick answer; what reports am I required to upload as part of my CAPER?

Beth: This is Beth and I can answer. You are not required to upload any of those reports. You may need to send in a PER if you're having difficulty downloading them, but your field office should be able to pull your PR26 or any of your other reports. If, however you are updating your PR26 report or your PER to reflect more accurate financial data, you'll want to send that in. You can either upload it to your CAPER or you can send it in separately by email or by regular mail to your field office.

Chris: Thank you, Beth. We'll continue on with the presentation and we'll just do a quick walk-through of the CAPER. I just want to pull up a UAT here. So

again, like the rest of the eCon Planning Suite, your CAPER is in the plans, projects, and activities and when you add your CAPER you will see that all it asks for you is your program year, title, and version. That is because your CAPER is set to automatically pull from the most recently-approved action plan for that program year.

So, coming in here just looking at 2016 there was a draft and maybe there was a practice version. It will automatically pull from this CAPER here, this 'review completed' because that is the most recently-approved action plan in the system. Coming back to our CAPER I created a version for today's session, so I'll go ahead and open that up.

We'll see here on the CR00 screen that it automatically is associating with that 2016 action plan, with that most recently-approved action plan. Now, where we've been spending a lot of our discussion today is on the CR05, and this is all of the accomplishment data. Opening the CR05 screen, it has a very similar table to the goals and accomplishments micro-strategy report in that it's listing out the goals and then the anticipated outcome and the actual outcome. It has the same table for the overall strategic plan.

Now, the important thing here just in first glance – and Beth and I mentioned this at the very beginning of the session – is that all of the data in the accomplishments it is being organized by goal. So, we'll see here that it's organized starting with goal number one, coordination; goal number two, related to community facilities, community policing into structured public services; and you have the expected value and this matches up with the action plan, with the goal outcome indicator that you associated in the action plan for each of those goals.

Where any accomplishments had been realized or recorded in IDIS, it will automatically pull and enter those. You see here under goal number three, under community policing we see that there are 95,000 people who are listed there as a recipient or a benefactor of that goal. Now, in completing this, you as we were discussing, may have created your CAPER before entering all of your goals. You may have some accomplishments that were tied to multiple goals or that were not tied at all to a strategic plan goal. All of these fields can be edited and can be updated if you have to make any edits. Again, I think for almost all of you on the line if you're going through and working on your CAPER you will need to make some edits to your CAPER in entering your accomplishment data and in entering that other data.

With that in mind and to Beth's point, do make sure that you are going back in IDIS if you hadn't yet entered accomplishment data for the activities that you are also doing that. You do want to make sure that all of data is getting correctly updated in IDIS as well.

Just a couple of other pieces that I do want to point out in the CAPER template is– and here I'm just opening up the CR15 screen – again, all of these fields can be edited, so there in the amount expended during the program year could be entered and you do have narrative fields throughout the CAPER template to describe or provide any supplemental information. I know both in accomplishments and in resources and investments you may be leveraging state or local resources and you'd like to include that in the description. You can use those narrative fields to supplement your CAPER and really tell your story.

Just like the Con plan template for the Con plan and for the action plan, you have the corresponding reg for each screen and in some cases each field that is required in the CAPER. If you ever have a question of what needs to be going in here or what will my field office be looking for, you have that reg citation that you can go back into and double-check and say; okay, am I meeting what is asked in 91.520 in sub-paragraph A or sub-paragraph B or D? And answer those questions.

The last piece here is you do have the option to upload five attachments. Beth was referencing that you may want to include the PER or the PR-26 report. If you made any edits or amendments to those, those can be attached and uploaded here. Any additional information that you want to include can be uploaded and attached here. In a minute we'll be talking about the e-cart and that will be one of the documents that you also will be attaching. And you all are here, which I presume means that you've submitted a Con plan and have submitted an action plan, so again exactly the same process for submitting where you change the status bar from "open in progress" to "submitted for review" and you save it and that will go directly to your field office.

Beth, is there anything else that you would like to highlight on the CAPER template before we move on to ESG?

Beth: So, at the risk of sounding like a broken record, there are those must-dos that you really should take care of prior to setting up that CAPER. Make sure that your most recent action plan and any amendments are in review completed and check those projects in your annual action plan and make sure that they're set up correctly. Get all your IDIS reports run and reconcile your data and then also keep in mind there are lots of reports and user guides to help you run those reports and reconcile that data prior to starting the CAPER.

Chris: Thank you, Beth. Great point; coming back here we'll just come back to the CAPER and ESG. ESG grantees are required to complete the CR60, CR70, and CR75 screens all in the CAPER template. In lieu of the CR65 screen grantees are required to use the e-cart. In order to upload that file it is now a macro-enabled Excel file that can be uploaded to the CR00. As many of you may remember last year it was embedded in a Word document. This year it

can be uploaded directly as an Excel file and its using e-cart version five that everyone should be using.

Marlisa, is there anything else that you would just like to add here on the ESG requirements?

Marlisa: I would just say that as recipients are starting to complete their 2016 e-cart you may run into some recipients that are still having difficulty with their CSV, their Cono-separated value report that's generated from HMIS or a comparable database. We expect that those who had trouble last year had established a plan with a timeline to come into compliance with the CSV requirement.

If you are encountering some recipients that are still having problems – they weren't able to meet the timeline or the plan that they established for 2015 – please, pretty much follow the same guidance that we issued last year and be in contact with your field officer/CPD representative as well as myself, Marlisa Grogan, and we will handle those cases and provide additional TA or guidance as necessary.

One other quick note about the 2015 e-cart; we are still following up through field offices to collect those e-carts that had not been submitted or were submitted incorrectly, so if you know that you have not submitted the e-cart as an Excel file, either to IDIS or to your field office and to me, please make sure that you get that submission in as soon as possible. We're going to be following up with the field offices to make sure that happens for the 2015 e-carts. If your 2015 CAPER has been reviewed and approved in the eCon Planning Suite, we're still accepting those just via email to the field and to myself. Thank you.

Chris: Excellent. Thank you, Marlisa. We'll be sharing these slides shortly after today's session, but the resources on both CAPER and ESG can all be found here both in terms for e-cart FAQ's, on the issue requirements and on the CSV export status for sub-recipients if anyone is having any questions or issues on that.

In another couple of minutes we just want to zero in and we've been talking on these points throughout today's session, but again if these are the points you come away with in terms of your CAPER must-dos, before creating your CAPER you'll want to make sure that your action plan is marked as 'review-complete', otherwise that CAPER will not be correctly associated with your action plan. All of your amendments in IDIS or your corresponding program years – so here we're talking about your 2016 CAPER, it would be through your 2016 action plan – those amendments are submitted and marked as 'review complete' in IDIS before creating your CAPER.

And, ensuring that your action plan includes all of the correct projects that are associated with activities and have the correct program year, doing a double-check you can do a printout of your AP35 screen and just make sure that your associated with a goal, that those projects are the right year, and then you can double-check and make sure that all of your activities are appropriately assigned to those projects. Finally, all of your accomplishment data is entered in IDIS.

90 percent of the questions that we receive related to an issue with the CAPER or something not populating in the CAPER correctly or someone having questions on how the data really comes back to these four bullets here and either the action plan or the amendment wasn't marked as complete or there were duplicative projects in the action plan or the accomplishment data wasn't entered in IDIS.

I think just one final bullet that we don't have on a slide but that we've talked a lot about today and would also want to include would be making sure that you're using the additional micro-strategy reports and you're using the Con Plan Goals and Accomplishments report to help get a snapshot of what does your CAPER data look like before you create that CAPER. Then you can realize that you may have some additional fixes or updates that you need to make before you start in on your CAPER.

Again, if you're already working in that CAPER template and you're working on your 2016 CAPER you do not need to start all over and create a new CAPER template and manually copy that narrative. Just go ahead and use the goals and accomplishments report. Use the other micro-strategy reports that we've talked about today and then manually enter that data into the Con plan template.

Okay, and with that in mind just a couple of common issues that we see – and I think these align with the questions that you all are submitting – so, we'll go through these quickly and then open it up for questions from you all. The issue is that the accomplishment data includes accomplishments not associated with a strategic or annual plan goal and this may be due to your accomplishments, they were realized or tied to a project or an activity that is coming from a prior year or using a matrix code that differs from the goal outcome indicator that was included in the action plan and project. To correct this, you can always just manually adjust the accomplishment information in the CAPER.

The second issue is that not all your accomplishment data is appearing in the CAPER. This is likely because that CAPER was created before the accomplishment data was entered in the activity screen. Once your accomplishment data is entered in IDIS, again use the Con plan goals and accomplishments report to see the updated tables and then you can manually adjust the CAPER to include all of that accomplishment data.

Again, to use that report you really want to use your CAPER to tell your story and share all of the successes that you've had over the last year.

Finally, a common issue that we see is that activities from prior Con plans are not appearing in the CAPER. Accomplishments from any activity that was created or tied to a prior Con plan will not automatically appear in the CR05 screen and you must manually add that accomplishment data by pulling from the micro-strategy report, the Con plan micro strategy report, and the other micro-strategy reports to gather that data.

Beth or Marlisa, before we open it up for questions, is there anything else that you would like to add?

Beth: I think we've covered it all, but Chris has said some really important pieces and that is to really use your reports and don't create a new template if you already have one. Just use the reports to reconcile your data, but whenever possible, if you have the opportunity use the reports to update all of your data and your prior-year plans prior to creating the CAPER. It will limit the amount of reconciliation you have to do in the system.

Chris: Great. Well, Jon it looks like a number of questions have come in.

Jon: They sure have, Chris so let's get right to them. The first one – and there's actually a couple of these – can I upload attachments to the CAPER, and another one similar to that is how does the PR26 get included and in what session does it get attached to?

Chris: Great question; so let's just come back here to our CAPER menu. You can upload up to five attachments from the CR00 screen. This is very similar to the functionality for uploading attachments with the Con plan or the action plan. You actually have a little bit more flexibility in the file types that you can upload here, just to include those Excel files for the e-cart. You're able to upload up to five attachments and if you are including your PR26, this is where you can include it as part of your CAPER.

Jon: Thanks, Chris. Let's go to another one. The second question is can you repeat the requirements for the e-cart? An ESG question.

Chris: Marlisa, are you able to just go over the requirements for the e-cart one more time?

Marlisa: Sure. The e-cart is submitted in lieu of CR65. Previously recipients had filled out the tables on screen CR65. Now, as of the 2015 CAPER, so for your 2016 CAPER you'll leave those tables blank and instead attach your e-cart to CR00, and the e-cart, which is now Version 5 posted on the HUD exchange, that is the version that should be used as of all CAPERs submitted after October 2016. That corresponds to the HMIS critical updates that were in

effect at the same time, so just a brief synopsis of how the data flows here; recipients will gather comma-separated values, CSV reports, from their sub-recipients. All of those CSV files get uploaded into the CAPER – the Excel file – and that Excel file gets attached to CR00. Now, the eCon Planning Suite can accept Excel files, so you no longer have to embed them in a Word document, which had been the case in the past.

So, all of your e-carts should be data that's pulled directly from your HMIS or from a comparable database for domestic violence providers and that is what gets submitted, one e-cart file per recipient to screen CR00. All of the guidance documents that are included on the slide towards the end here go into the steps in detail and the AAQ's are also available to everyone if you need additional support.

Chris: Great. Thank you, Marlisa. Jon, other questions coming in?

Jon: Yes. Here's one; do consortium or regional grantees do CAPERS together?

Chris: That's a great question and no; consortium grantees and regional plan grantees are all responsible for their own CAPER. And so, if you are a participating grantee in a HOME consortia, even though the lead grantee was responsible for creating the Con plan and submitting the Con plan and creating the action plan and submitting the action plan you are doing your own CAPER, and in that CAPER is where you're highlighting and zeroing in on the accomplishments related to the CPD funds – either CBDG or CDBG and ESG – that you are receiving directly from HUD.

             The lead entity will respond to the CAPER elements related to the home program, but as the participating grantee you are doing your own CAPER as it relates to your block grant and/or ESG program.

Jon: Thanks, Chris. Here are two related ones; when is the CAPER due again, and then just one grantee just wanted to give an example of their fiscal year or program year ended on June 30.

Chris: The CAPER is due 90 days after the end of your program year, so for those ending on June 30 – I'm testing my math with their being two months with 31 – but it would be 90 days after the end of your program year, so it would be September 27 or September 28 at that point.

Beth: The important thing to remember is the calendar days.

Jon: Good point. Okay, let's just jump back to an ESG one. Do we manually enter ESG data or does IDIS automatically retrieve it from the Excel file?

Chris: Marlisa, I can start on this one and maybe you can add a little bit more, but I think this is talking here on the CR65 screen; you actually don't need to do

the CR65 screen. The e-cart is in lieu of the CR65 screen, so there's no need for that data to also then be entered in the CR65. You can leave that blank. Marlisa, maybe you could just talk a little bit more about how the e-cart is pulling all that data, and again we can direct everyone after today's session to the guidance material on the e-cart.

Marlisa: Great. So, sub-recipients, like the direct providers of the ESG services who are doing HMIS data entry, they extract a CSV file from their HMIS or they can have their HMIS sender do that. They send the CSV file to recipients and then the ESG recipient imports all of those CSV files for all of their sub-recipients into one e-cart tool, one Excel file. That Excel file gets attached to the CR00 screen. It doesn't import that data. It doesn't import to any of the eCon Planning Suite screens. It just stays as that one Excel file on screen CR00.

              For the other screens, for CR60, CR70, and for CR75, the data is manually entered, so for CR70 you're manually entering in your shelter utilization numbers. For CR75 you're manually entering your expenditure data information and I should clarify that for CR60 you're going to be entering in your sub-recipient information from the available sub-recipient list and then entering in the award information using the buttons or entering in the dollar amount in the drop-downs.

Chris: Great. Thank you, Marlisa. Jon, are there other questions coming in?

Jon: Yes, we have several more. Here's one; what happens when the prior-year CAPER has not been marked 'review completed' in IDIS? Can I generate the 2016/2017 CAPER?

Chris: That's a great question. So, if your prior-year CAPER is still under review, or if there are edits being made to it you can still create your FY2016 CAPER as long as the corresponding action plan, your 2016 action plan is marked as 'review completed.' If you do have questions on those CAPERs being marked as 'review completed', you can always follow up with your field office and to make sure that you're working through to get those CAPERs marked as review completed, but you can start your current CAPER as long as your action plan – that's the important piece – as long as your action plan is marked as 'review completed.'

Jon: Thanks, Chris. And another one; will you go over how to manually update your CAPER?

Chris: Absolutely I'll review that again. Let me just come back here into the IDIS and I'm just opening up the CR05 screen and so here we have our expected and actual values. All of these values can be updated, so let's just say here I want to change this number to three, we'll go ahead and click "save and return" and I come open that field back up and I see now that that actually is

three. So, that is the process within IDIS of manually updating those fields. The important place of gathering that data is from the micro-strategy reports, both the Con plan and the other micro-strategy reports related to CDGB and HOME and ESG and using those to provide that additional data.

Jon: Okay. We have another ESG question. For ESG e-cart, if you have multiple ESG sub-recipients and each is creating their HMIS data, how are these to be attached to the CR00 when there are only five attachments allowed? Are they all combined? Please advise.

Marlisa: Okay, so the ESG recipient who would download the e-cart tool from the HUD Exchange, the recipient would take off all of those five CSV files that they received from their sub-recipients, or let's say for a larger grantee, you have 20 sub-recipients. The recipient would take those 20 CSV files from all of those sub-recipients and then the recipient would upload all of those files into the e-cart tool. And then, that one e-cart tool – which is an Excel file – that one file gets attached to the CR00.

So, the recipients are never attaching more than e-cart to CR00 in the eCon Planning Suite. I can tell you that we have one resource which lays it out with screen chats and everything and makes it a little bit easier to understand with the visual and that is the e-cart CSV export submission steps for sub-recipients, so it gets into more detail about what a CSV file is, how many files are actually included in a CSV, which are 32, and it's really handy especially if you have a lot of different sub-recipients and sub-recipients that have a number of different projects. It can get pretty much into the weeds, but that second resource there, the CSV export steps for sub-recipients, is very helpful in going through each step.

Chris: Great. Thank you, Marlisa. We're just about out of time so I just wanted to pull back up here our CAPER must-dos and again, just as we wrap up today's call the reminders are to just make sure your action plan is market as complete, make sure all your amendments are submitted and marked as complete, all of your projects are appropriately tied to your action plan and have the goal and outcome indicators, and that all of your accomplishment data has been entered in IDIS.

Beth and Marlisa, before we wrap up, are there any closing thoughts from you all?

Beth: Nothing else from me.

Marlisa: I would just point everyone to the AAQ as well. If you're having any questions about how to do something or you're getting stuck, we try to get responses to the AAQ out as quickly as possible. I know it's slow sometimes, but don't hesitate to use that as a reference and a resource.

Chris: Great. Well, thank you Beth and thank you Marlisa and thank you all for joining us and we will make sure to send out all the resources that we've discussed and we'll let you all know when the PowerPoint, transcript, and the recordings are posted. Have a great rest of your day.