HOPWA Reporting using the Consolidated Annual Performance and Evaluation Report (CAPER): Training 1 of 3

Welcome to the HOPWA CAPER Training Module. Before you begin, here is some information that will help you navigate through the presentation more easily:

The CAPER Training Module is divided into three parts. Part 1 of the CAPER Training Module should take approximately 37 minutes and it will take approximately 1 hour and 40 minutes to go through all 3.   If you have a question about a specific section of the report refer to slide 7 of this presentation to determine which Training Module you should reference to answer your question. Feel free to skip sections of the guide for which you do not need assistance.

Upon reaching a slide, a sound clip will automatically play. In order to advance to the next slide, click anywhere on the slide with your mouse. You may notice that at the end of each sound clip there are a few seconds of silence. This added silence was necessary to accommodate for a quirk in the PowerPoint platform.   If you wish to skip a slide you may have to click on the slide more than once. Clicking while the sound clip is playing will stop the audio file and you will be required to click a second time to advance to the next slide. To return to the previous slide, right click on your mouse and select "previous slide" from the drop down menu. You can select "Previous" to return to the previous slide, "Next" to advance to the next slide, or you can select "Go To" to skip to a specific slide. To end the slideshow, press Escape (ESC) on your keyboard or right click and select "end show."

You are now ready to begin the training!

Using this Guide

To follow along with the guide, print out a blank copy of the CAPER, so that you can have it in front of you as we walk through the report. The first few pages of the CAPER have definitions of HOPWA terms and activities that you may find useful.

This guide goes step by step through the CAPER, and will help formula grantees understand how to accurately complete their report. It should give you a good idea of what data elements you need to collect. It also explains some of the confusing questions in the report. Each slide includes an audio file. The audio texts can be found on the HRE website.

Occasionally, you will find an interactive slide, marked with a green question mark, where you will be asked to consider various sections of the report. Slides with definitions of HOPWA activities or terms will be tagged with a yellow exclamation mark.

Throughout the guide, we will refer to technical assistance providers (TA providers), hired by HUD to provide information regarding HOPWA to grantees. Every grantee has access to technical assistance. TA providers serve as a resource for grantees seeking insight into HOPWA regulations, suggestions on how to overcome implementation barriers, ideas for data collection systems, knowledge of potential leveraging resources, and more. If you have a specific question that this guide does not address, click on the link provided to find a TA provider to assist you. If you are not sure how to categorize a specific activity provided by your program, you can ask your TA provider. If you are having difficulty tracking outcomes or separating expenditure information by specific line-items, you can ask your TA provider for suggestions and strategies for developing data collection systems to help you.

In order to advance to the next slide, click anywhere on the slide with your mouse. Make sure that the sound clip has finished playing before advancing. Clicking while the sound clip is still playing will stop the audio file, and you will be required to click a second time to advance to the next slide. Upon reaching a new slide, the audio clip will begin to play after a brief pause of two seconds.

What is the CAPER?

The Consolidated Annual Performance and Evaluation Report (CAPER) is a document used to collect information from HOPWA formula grantees regarding their use of program funds and progress towards reaching identified objectives. It is due to HUD 90 days after the close of the grant's program year. There are primarily three types of data that grantees are required to report in the CAPER. This includes administrative/identifying data such as the grant number, program year, and sponsor contact information; numerical data such as counts of individuals, beneficiaries, households, and units; and expenditure data including HOPWA funds and leveraged funds.

Formula grantees are required to submit the HOPWA Reporting (form D) section of their CAPER for each operating year in which HOPWA funds are expended. Additionally, formula grantees must actively use and report in IDIS along with performing their related consolidated plan efforts.

Competitive grantees are required to complete the Annual Progress Report (APR) rather than the CAPER. The APR is a more detailed performance report that includes CAPER questions as well as questions regarding demographic information and sponsor-level performance data. A guide on how to complete the APR can be found on the HUD HRE website.

What is the CAPER?

Although formula grantees are not required to complete the APR, many grantees require each of their project sponsors to complete the APR, so that they can later compile this information into one CAPER to submit to HUD. Additionally, by requiring project sponsors to complete the APR, formula grantees can collect information needed to report in IDIS. Formula grantees are required to update the performance information on their IDIS activities no later than 90 days after the end of the program year and maintain information current with regular financial disbursements. Grantees can use the APR as a tool to collect some of this information from project sponsors. Once the data has been consolidated and the CAPER has been submitted to HUD, the report is reviewed for consistency and accuracy.

Why is Performance Reporting Important?

The information reported in the CAPER is important. Not only does it allow the Office of HIV/AIDS Housing (OHH) to report program achievements in national HUD reports and national profiles, it can help grantees evaluate their own performance. By tracking household outcomes and outputs, grantees can determine which areas of their program are working, and which areas need to be improved. The information can help grantees set targets for future program years and adapt their plans to address unmet need. The narrative portion of the CAPER allows the grantee to share their accomplishments and express their concerns regarding obstacles they face implementing their programs. The information in the CAPER allows OHH to identify needs for program enhancement and guidance, to monitor grant activity, and to advocate for HOPWA. Additionally, program reporting enhances transparency and allows clients to better identify resources.

Where to Begin?

Data Collection should begin at the beginning of the program year. If you start thinking about reporting at the end of the program year, you are going to have a much harder time collecting and compiling the information. In some cases, it might be impossible to go back to collect the information. For formula grantees reporting in the CAPER, the following steps will help you successfully complete the reporting process.

Step 1) Become very familiar with the questions asked in the CAPER as well as IDIS. While this presentation will focus on CAPER requirements, keep in mind that formula grantees and their sponsors have additional reporting requirements.

Step 2) Work with your TA provider to design a data collection system. Think about how you will collect information to answer each question. Things that need to be considered include, how to best track household stability outcomes, access to care outcomes, and leveraging information . In addition, grantees will need to determine how they will coordinate with other organizations to collect required information.

Step 3) Train your Project Sponsors on the CAPER and IDIS reporting requirements. Once you have a firm understanding of the CAPER, train your sponsors so that they know what information they are responsible to collect. You can work with your TA provider to set up a formal project sponsor training.   In order to collect all of the required information needed for the cumulative CAPER and IDIS, many grantees require their project sponsors to complete an entire APR, which includes demographic data, performance and expenditure data, as well as outcome data.

Step 4) Gather and review data from Project Sponsors. Before combining all of your project sponsor's data, look at each project sponsor's information to make sure that it makes sense. Look for inconsistent and missing data. If one project sponsor's information is incorrect, this will throw off all of the cumulative totals.

Step 5) This step mostly requires a lot of addition and cutting and pasting. For the narrative portion, consolidate the information provided by project sponsors to represent accomplishments and barriers as accurately as possible. For each item in the Performance and Expenditures Chart in Part 3 and the Performance Outcomes Section in Part 4, add up the information provided by project sponsors in order to get cumulative data on the number of households served with each HOPWA-activity as well as the cumulative housing and access to care outcomes for these households. In order to make sure that you are only reporting each household once in these charts, it is important to keep track of households served by multiple sponsors for the same type of assistance.

Step 6) Complete Part 1, Chart 1, Grantee Executive Summary. You can complete Part 1 at any point. It does not require any information from your project sponsors to complete.

The Structure of the CAPER

The CAPER is divided into six parts. In addition to providing an introduction to the CAPER and HOPWA reporting requirements, CAPER Training 1 focuses on Part 1 of the CAPER.

Part 1 is the Grantee Executive Summary and includes basic grantee, sponsor, and subrecipient identifying information as well as the Narrative and Performance Assessment and the Unmet Housing Needs Chart.

CAPER Training 2 provides information on how to complete Part 2 and 3 of the CAPER and CAPER Training 3 covers Part 4, 5 and 6.   CAPER Training 2 and 3 can be found on the HUD HRE website

Part 1: Grantee Executive Summary:
The Basics

The Grantee Information Section or Part 1, Section 1 of the CAPER is used primarily to answer "who, when, and where" questions. Who is receiving the HOPWA grant, where is the grantee located, what is the grantee's contact information, what is the Operating Year for the report, and so on.

The Grantee Information Section begins with a place to report the grant number, operating year, and grantee name. This information can be found in your grant agreement. If this basic information is not correct, the report will not be accepted. In particular, it is very important that your operating year is correct. All accomplishment and expenditure information in the report should be based on activities taking place during the operating year. The grant number should follow the basic format shown on this slide. The number begins with the grantee's state initials, followed by an H, then the grant year, then an F which stands for formula, and 3 digits unique to the grantee. If you do not know this information, and you do not have a copy of your grant agreement refer to your field office representative.

Part 1: Grantee Information: The Basics

This slide shows a continuation of the Grantee Information Section. The CAPER must be completed in the correct format. If the wrong reporting format is used, the report will not be accepted. On the right hand, bottom corner of each page in the CAPER, there should be an expiration data of 12/31/2010. If the report has an incorrect expiration date you are using the incorrect format.

Part 1: Grantee Information: Service Delivery Information

This slide shows a continuation of the Grantee Information Section in Part 1, Section 1. All grantees must provide an Employer Identification Number or a Tax Identification Number as well as the DUNs number. The EIN, TIN, and DUNS are used to identify the grantee, sub-recipients, and project sponsors. An EIN is a nine-digit number issued by the Internal Revenue Service to identify the tax accounts of business entities. Additional information can be found on the IRS website. The Data Universal Number System (DUNS) is a unique nine-digit number assigned by Dun & Bradstreet. This number can be obtained by calling Dun and Bradstreet 1-866-705-5711 or online at www.dnb.com.

All grantees must provide their Congressional District of Address. This is the congressional district where the grantee organization is physically located.

The Primary Service Area information only needs to be completed by grantees that directly implement their program. These are grantees that directly provide supportive services, housing assistance, or housing placement assistance to clients. If the grantee does not directly provide services or housing assistance , but rather relies on project sponsors to serve clients, then they are not required to complete the primary service information.

When listing Congressional Districts, Zip Codes, Cities, and Counties of Primary Service Area(s) be as specific as possible. Grantees directly implementing their program must complete all items. The Primary Service Area(s) is not just the area where the organization is currently serving clients. It is also any area that the organization is able to serve clients or would serve clients. For instance, if an organization is responsible for serving 3 counties, but currently only serves clients in 2 counties, ALL 3 counties need to be reported under Counties of Primary Service Area.

Report on all Congressional Districts of Primary Service Area. When reporting zip codes of Primary Service Area, you are required to report on the top 5 zip codes served in your Primary Service Area. You do not need to list every zip code if this would involve writing out dozens or hundreds of zip codes, although you are encouraged to provide as much information as possible. You are required to report on all Cities and Counties of Primary Service Area. If you serve an area with dozens or hundreds of cities, then abbreviate by writing "all cities in _____ county.

Part 1: Grantee Information: Service Delivery Information

The chart above has been filled out incorrectly. Try to determine which items are incorrect. When you have made a guess, click on the slide with your mouse to see if you are right. Incorrect items will be highlighted in red.

The grantee made two errors when completing this section. If the grantee implemented HOPWA activities directly, then all service delivery questions should be answered. Counties of Primary Service Area should be clearly distinguished from Cities of Primary Service Area. Vague responses such as "All Zip Codes in Greater Boston" should be avoided. Instead, the grantee should either specify the city or county, for example by writing "all zip codes in Harrington and Bridgeport Counties" or list the top 5 zip codes served.

Part 1: Grantee Information: Waiting List Information and Nonprofit Status

This slide shows a continuation of the Grantee Summary in Part 1, Section 1. Answer all questions.   If your organization does not have a website address, put "n/a". Do not leave this box blank. In fact, whenever something is not applicable to your program, be sure to put "n/a" instead of leaving the question blank. Blank boxes could mean more than one thing. This is particularly important later in the report. These things may seem fairly minor, however keep in mind that the information in your CAPER is used for a variety of purposes, not simply to satisfy grantee reporting requirements. The website address you report could help connect a potential client to your program.

If your organization maintains a waiting list, make sure to explain in your narrative (Part 2) how the list is administered. You must mark either yes or no. If your organization has prepared an evaluation report, please either provide the url or attach the evaluation when you submit your report.

Part 1, Section 1: Find the Error

The Grantee who completed this section of the Grantee Summary in Part 1, Section 1 made a mistake. Look for the error. Once you think you know which mistake was made, click anywhere on the slide with your mouse to see if you are correct.   The error will appear in red.

This grantee did not provide their organization's website address. If this organization has a website address they should provide it and if not, the organization should write "n/a" instead of leaving the box blank.

Types of Organizations Diagram (Slide 14)

We just finished reviewing the Grantee Information Section in Part 1, Section 1, which is the portion of the CAPER used to report basic grantee identifying information. The next section of the CAPER, Part 1, Section 2, is used to report basic project sponsor information. Project sponsors are organizations that contract with the grantee and directly serve clients by providing housing assistance, supportive services, or housing placement assistance. If the project sponsor has an agreement of less than $25,000, the grantee is not required to report the project sponsor's identifying information in Part 1, Section 2; however the sponsor's performance, expenditure, and outcome data must still be included throughout the remainder of the report.

Project sponsors should not be confused with grantee subrecipients. Grantee Subrecipients play primary an administrative role. There are two types of subrecipients found in the CAPER. Grantee Subrecipients are organizations that assist the grantee by carrying out grantee functions such as evaluation or other administrative services. Sponsor Subrecipients are organizations that assist a project sponsor in carrying out project sponsor functions. These organizations typically sub-contract with specific project sponsors and often provide housing assistance or supportive services directly to clients. Both grantee subrecipients and sponsor subrecipients must be reported in Part 1, Section 3 of the report if they hold a contract or agreement of $25,000 or greater with the grantee or project sponsor. If the subrecipient has an agreement of less than $25,000, the Transparency Act does not require the sub-recipient's identifying information to be reported in Part 1, Section 3; however the sub-recipient's activity and expenditure data must still be included under the relevant activities.

Click on the rectangles to see a description of each type of organization.

Part 1, Section 2: Project Sponsor Information

Complete Part 1, Section 2 for each project sponsor. Remember that a project sponsor is an organization that contracts with the grantee and directly serves clients by providing housing assistance, supportive services, or housing placement assistance. Do not leave any question unanswered. If something doesn't apply to a particular project sponsor, simply write "n/a" in the box. For instance, if the project sponsor does not have an email address, write "n/a" in the box.

All project sponsors must provide an Employer Identification Number or a Tax Identification Number as well as a DUNs number. For more information on these numbers, click on the links.

Next, All project sponsors must provide their Congressional District of Address. This is the congressional district where the sponsor organization is physically located. All project sponsors must report their Primary Service Area information. Report on all Congressional Districts of Primary Service Area. When reporting zip codes of Primary Service Area, you are required to report on the top 5 zip codes served in your Primary Service Area. You do not need to list every zip code if this would involve writing out dozens or hundreds of zip codes, although you are encouraged to provide as much information as possible. You are required to report on all Cities and Counties of Primary Service Area. If you serve an area with dozens or hundreds of cities, then abbreviate by writing "all cities in _____ county."

Next, report the "Total HOPWA contract amount." This number can be found in your grant agreement. This should be the total HOPWA Contract Amount for this particular program year. If the organization has a three year contract, simply divide the contract amount by 3. The same idea would apply for other multi-year contracts. Divide the total contract amount, by the number of years in the contract. Every organization must provide a website address. If your organization does not have a website address, put "n/a". Do not leave this box blank. If your organization maintains a waiting list, make sure to explain in your narrative (Part 2) how the list is administered. You must mark either yes or no.

For the question about the sponsor's nonprofit status, mark either yes or no. Check with your TA provider if you are confused about the organization's nonprofit status. A government agency is NOT considered a nonprofit organization. If the sponsor marks yes, this indicates that the sponsor is a nonprofit organization. A nonprofit sponsor must further indicate whether it is a faith-based organization, founded and/or operating within this context, and also mark whether it is a grassroots organization. Check all that apply. It is possible for the sponsor to mark that they are both a faith-based organization and a grassroots organization. A grassroots organization is an organization headquartered in the local community where it provides services; has a social services budget of $300,000 or less annually, and six or fewer full-time equivalent employees. Local affiliates of national organizations are not considered "grassroots." If you have further questions regarding your organization's classification, please contact your TA provider. You may also refer to your HOPWA application, in which your organization should have previously reported its nonprofit and faith-based status.

Part 1, Section 3 Subrecipient Information

Subrecipient Information is reported in Part 1, Section 3 of the CAPER. Remember, there are two types of subrecipients. Subrecipients can be organizations that contract with the grantee to provide administrative services, evaluation, or oversight for the grantee. Subrecipients can also be organizations that assist a project sponsor in carrying out project sponsor functions. These organizations typically sub-contract with specific project sponsors and often provide housing assistance or supportive services directly to clients. The subrecipient chart on this slide is filled out correctly. Except in rare situations, subrecipients contracting with the grantee to provide administrative services are not required to provide information regarding the primary service area because they do not implement activities directly. If this subrecipient had sub-contracted with a project sponsor to provide supportive services or housing assistance, the primary service area information would have been required. Every subrecipient is required to provide an EIN or TIN number. If the subrecipient has a DUNs number they should report it, however in this example, the subrecipient did not have one. The North American Industry Classification System Code (or NAICS Code) is a 6 digit number used by Federal statistical agencies and OMB to classify business establishments. Subrecipients that already have a NAICS code should report it. For more information regarding what a NAICS code is and how to acquire a NAICS code click on the link provided.

Part 1, Section A and B : Grantee Narrative and Performance Assessment

Part 1, Section A of the CAPER includes the Grantee and Community Overview. Use this section to explain the basic setup of your program. This is particularly important if your program is setup in an unusual way. When the Office of HIV/AIDS Housing reviews your CAPER, we look for missing data, and discrepancies between sections. In the narrative, you can explain unusual aspects of the data in the report. If you want to explain why another section of your report might not accurately reflect the scope of your program, you should do this in the narrative. Information clarifying issues related to data or program operations should be included at the beginning of the Grantee and Community Overview and should be prefaced with an asterisk.

In Part 1, Section B, grantees and sponsors are given the opportunity to describe their program accomplishments and to compare their accomplishments with the goals proposed in their Annual Action Plan. It provides a place to compare current year results to baseline results for clients in your HOPWA program. Under "Outputs Reported", describe how HOPWA funds were utilized and provide a comparison of the number of households actually served versus the number of households your program had planned to serve. Make sure to describe any challenges your program faced in meeting the goals set out in the Annual Action Plan. Under "Outcomes Assessed", describe the success of your program in achieving HOPWA's goals of maintaining housing stability, improving access to care, and reducing the risk of homelessness for low-income persons living with HIV/AIDS and their families. Under "Coordination", report on leveraged non-HOPWA housing and supportive services resources used to assist HOPWA eligible households in your jurisdiction. Finally, under "Technical Assistance" describe any training needs your program might have, whether this be training on how to implement your program or training on how to report.

Part 1, Section C: Barriers and Trends

Under Barriers and Trends in Part 1, Section C, please provide as much detail as possible. Describe any barriers encountered by your program, how they affected your program's ability to achieve the objectives and outcomes discussed, actions taken in response to barriers, and recommendations for HOPWA program enhancements. The barriers and trends portion of the CAPER is scrutinized very closely, to shed light on how to improve the program. This information is reviewed both by the national HOPWA office as well as your field office. If you have found a creative way to compensate for a particular barrier, please share it. You might have a strategy, that another grantee will find useful.

When describing the barriers faced, we recommend explaining each barrier in a separate paragraph. Using headings or bold text to highlight the specific barrier can be very helpful. The grantee should then follow the heading with specific examples of how this barrier is impacting their program.

In addition to providing a written narrative, make sure to complete the Barriers Chart which asks you to mark the barriers faced by your program. If barriers are marked, there should be a written narrative included as well. If a written narrative is included, the Barriers Chart needs to be marked.

Next, describe any trends in your community that affect the way in which the needs of persons living with HIV/AIDS are being addressed. Be creative. Any demographic changes, neighborhood changes, shifts in attitude, shifts in need, policy or funding changes, and so on need to be described.

Finally, identify any studies or evaluations of your HOPWA program that are available to the public. Provide the URL or attach the evaluation if at all possible.

3 Types of Housing Assistance

Throughout the CAPER, you will be asked to provide information regarding households that received housing assistance. There are three main types of housing assistance

Under Tenant-based Rental Assistance, rental subsidies are provided to the HOPWA-eligible households and can be used in any eligible unit chosen by the client. If the client moves, the rental subsidy remains with the client and can be used in another unit.

Under the STRMU program, grantees may provide assistance for rent, mortgage, and/or utilities for up to 21 weeks of assistance in any 52-week period (weeks do not need to be consecutive). This type of housing assistance is used to prevent the homelessness of the tenant or owner occupant of a dwelling.

Facility-based housing assistance includes all eligible HOPWA housing expenditures associated with supporting facilities including community residences, SRO dwellings, short-term facilities, project-based rental units, master leased units, and other housing facilities approved by HUD. Facility-based Housing Assistance is divided into permanent facility-based housing assistance and short/term transitional facility-based housing assistance. A permanent facility includes community residences, SRO dwellings, project-based rental units, master leased units, and other housing facilities which provide for continued residency as established by a lease or occupancy agreement. A transitional facility is a term or service limited project that facilitates the movement of homeless individuals and families to permanent housing within a reasonable amount of time (usually 24 months). Facilities with a residential treatment focus are often classified as transitional facilities.

Click on the purple and green shapes for definitions of the various types of housing assistance.

Part 1, Section D: Unmet Housing

The Unmet Housing Need Chart in Part 1, Section D of the CAPER is where grantees report the unmet housing need of HOPWA-eligible households in their region. All formula grantees are required to complete the Unmet Need Assessment.

The Unmet Needs Assessment in Chart 1 is simply your organization's best estimate of the unmet need for HOPWA housing support in your jurisdiction. In the Unmet Needs Chart, grantees should report on the number of HOPWA-eligible households that require housing assistance, but are not currently receiving housing assistance. The total unmet need must be reported in the first line of Chart 1. For each household with unmet need, do your best to determine which of three types of housing assistance would best meet their needs. If this household would best be served in Tenant-Based Rental Assistance report them in line a. If the household would best be served in Short-term Rent, Mortgage, and Utility Assistance, report them in line b. Or if the household would best be served in a Housing Facility, report them in line c.

If you are using a data source that does not allow you to separate unmet housing need by type of housing assistance, then you are not required to complete lines a-c of the Unmet Needs Assessment. The most critical information that we are looking for is your service area's total unmet housing need. We encourage you to break apart this need by type of housing assistance if you are able to, but it is not required.

There are a variety of sources you can utilize in order to collect this information. You can use:
> Consolidated Plan unmet need charts
> CPMP estimates
> Data from Housing Planning and Coordination Efforts, e.g. Continuum of Care
> HMIS Data
> CDC or local HIV/AIDS surveillance data
> Waiting lists
> Ryan White Planning Councils/ Care Act data reports
> Data from prisons or jails

If you have questions on how to report unmet need information, contact your TA provider for suggestions on how to obtain and use this data. Once again, households already receiving HOPWA housing should NOT be included in this chart. If households receiving housing assistance have unmet needs, this should be included in the barriers and recommendations portion of the CAPER.

Congratulations! You have completed Part 1 of the CAPER Training.

You have completed Part 1 of the CAPER Training. Part 2 and 3 of the CAPER Training along with the associated audio text PowerPoints can be found on the HUD HRE website.