

# HOPWA Reporting using the Consolidated Annual Performance and Evaluation Report (CAPER): Training 2 of 3

Welcome to Part 2 of the HOPWA CAPER Training Module. Before you begin, here is some information that will help you navigate through the presentation more easily:

Part 2 of the CAPER Training Module should take approximately 38 minutes to complete. If you have a question about a specific section of the report refer to slide 2 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!

# The Structure of the CAPER

The CAPER is divided into six parts. CAPER training 2 focuses on Part 2 and 3 of the CAPER.

Part 2 is the Sources of Leveraging Section in which grantees list non-HOPWA sources of funding utilized by sponsors and grantees during the program year.

Part 3 includes the Accomplishment Data-Planned Goal and Actual Outputs Chart and a Supportive Services Chart broken down by line-item.

## Part 2: Sources of Leveraging

Part 2 of the CAPER is used to report on leveraged funds utilized by the grantee and project sponsors to provide housing assistance, supportive services, or housing placement assistance to HOPWA-eligible households. If the administrative costs associated with HOPWA are not covered by HOPWA funds, then any additional sources of funding paying for administration should also be reported. Leveraging information provides HUD and Congress a full picture of your program. For instance, if a sponsor uses HOPWA funds to provide housing assistance and non-HOPWA funds to provide supportive services, the leveraging information you report will illustrate exactly how your program is set up. The leveraging information gives HUD an idea of the community collaborations grantees and sponsors are undertaking, whether or not grantees are able to reach their leveraging goals set out in their annual action plans, and whether they are utilizing a variety of available resources to serve HOPWA-eligible households.

Leveraging includes non-HOPWA cash resources such as program income, federal, state, and local government, foundations and other private cash resources, in-kind resources, resident rent payments, and grantee or project sponsor cash. Common examples of leveraged funds include Supportive Housing Program (SHP); Emergency Shelter Grant (ESG); Shelter Plus Care (S+C); Ryan White CARE Act; HOME, state and local government funds, resident rent payments, program income, in-kind resources, and private philanthropy.

Grantees should report on all sources of leveraging utilized to assist households in their HOPWA program. This means that if a household receives HOPWA housing assistance, but receives their case management through non-HOPWA funding, the non-HOPWA funding should be reported as leveraging. Likewise, if a household receives supportive services through HOPWA, and their housing assistance through non-HOPWA sources, the non-HOPWA funding should be reported as leveraged funding. Be sure to report on the leveraging sources that were identified in your Consolidated or Annual Action Plan. If for some reason, you were not able to meet a particular leveraging goal, you might want to explain this in the narrative portion of the report.

## Part 2: Sources of Leveraging

In the Leveraging Portion of the CAPER, identify the type and source of leveraged funding used to perform HOPWA-eligible activities. Report on all non-HOPWA funding utilized to serve households in your HOPWA program. This includes non-HOPWA funds leveraged to provide housing assistance, supportive services, or housing placement assistance as well as non-HOPWA funds used to administer your HOPWA program.

In line 1, under Program Income, report on any gross income directly generated from the use of HOPWA funds, including repayments. An example of Program Income could be the return of a security deposit by a landlord to the grantee or project sponsor, or coins from washing machines in facilities receiving HOPWA operating subsidies.

Under federal government, state government, local government, and foundations, you should list all of the sources of leveraging used. You may need to add rows to the table if there is not enough room. For line 5 “Foundations and other private cash resources” be as specific as possible, without going overboard. You do not need to report every \$100 donation you receive. For large donations, report the source and funding amount separately; however, for smaller contributions, you can simply write “private donations” and group these smaller contributions together. Under “In-Kind Resources” include meals, furniture, volunteer time, and other non-monetary leveraged sources. Estimate the monetary value of these in-kind resources.

In line 7, projects providing TBRA, Project-based Housing Assistance, Master-leasing or using facilities must report on all rent contributions made by households receiving this assistance. This should include payments received and used by the grantee or project sponsor and any representative payee services. This would also include resident rent payments made directly to landlords. If you do not complete this line, this indicates that none of the households you served with housing assistance made a rent contribution. HOPWA regulations mandate that households in TBRA and Facility-based Housing Assistance make a rent contribution equal to 30% of adjusted household income. If this leveraging line is not completed, this would suggest either a lack of required assessments for resident rents, or that all of the households you serve do not have enough income to make a contribution. If the latter is the case, please note in your Barriers and Recommendations section that all clients have no income.

In Column 2 under the header “Housing Assistance”, report leveraged dollars that went towards providing housing assistance to HOPWA eligible households.

In column 3, report on leveraged funds that went towards supportive services and other non-direct housing costs. Non-direct housing costs can include housing information services, permanent housing placement services, administration, resource identification, program evaluations, etc. Speak with your technical assistance provider if you have a question regarding the definition of “non-direct housing costs.”

## Part 3, Section 1: Performance Planned Goal and Actual Chart

In the Performance Planned Goal and Actual Chart in Part 3, Section 1 grantees report the number of households receiving each type of HOPWA assistance and the amount of HOPWA funds expended for all grant activities. Grantees are also required to report on the amount of funds budgeted for each HOPWA-eligible activity as well as the goal numbers set out in their Annual Action Plan. Additionally, grantees report on households assisted entirely with non-HOPWA funds for their housing assistance. To clarify, a household can be a single individual living with HIV/AIDS or a family which includes at least one qualifying individual living with HIV/AIDS. Members of a family may be related by ties of blood, marriage, domestic partnership, or other legal means or involve unrelated adults who are presented as a household or individuals deemed to be important to the care or well-being of the household member living with HIV/AIDS. In order to qualify for HOPWA, a household must include at least one individual living with HIV/AIDS, the household must be low-income, and either homeless or at risk of becoming homeless. In the case of shared housing, report only on the HOPWA qualifying individual and their family-members, as determination of support is based on the family's adjusted income and share of housing costs.

In the case of development projects, grantees report the number of units developed along with the amount of HOPWA funds expended. Grantees are also required to report on stewardship units, which are units developed with HOPWA funds, subject to use periods of 3 or 10 years, that no longer receive operating subsidies or other HOPWA funding. The Performance Planned Goal and Actual Chart asks you to report on housing outputs. To clarify, an output is simply the number of households or units of housing that receive HOPWA housing assistance during the operating year. Later in the report, you will be asked to report on housing outcomes. Housing outcomes include information on how effective your program was in enabling households to establish or maintain a stable living situation and in preventing homelessness.

In the Performance Planned Goal and Actual Chart, you should report on all HOPWA activities performed, regardless of whether your grant was budgeted to provide these services. Ideally, expenditures will match the line-items outlined in the budget, however, grantees are required to report actual expenditures whether they match the proposed budget or not.

For each HOPWA activity that you are required to report on, the household count should represent an unduplicated number of households assisted during the operating year. This may require your project sponsors to coordinate with each other to determine if they are serving any of the same households with housing support. For instance, if a household receives TBRA from one of your sponsors at the beginning of the program year, and then receives TBRA at the end of the program year from another sponsor, you would only want to report this household once in the Performance Planned Goal and Actual Chart under TBRA. Additionally, if a household utilized STRMU multiple times within an operating year, this household should only be reported once. The Performance Planned Goal and Actual Chart is not asking for the number of payments, but rather an unduplicated count of the number of households that received STRMU. In the case of Housing Information Services, Permanent Housing Placement Assistance, and related services, you may estimate the number of households receiving services from more than one sponsor.



## Facility-Based Housing Assistance Diagram (Slide 6)

The Performance Planned Goal and Actual Chart in Part 3, Section 1 separates Facility-based Housing Assistance into four categories. The primary division is between short/term-transitional facilities and permanent facilities. 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.

The next division is between facilities developed with capital funds and placed in service during the operating year, and facilities that received operating subsidies and leased units. Facilities developed with capital funds are units where HOPWA funds were used for their acquisition, new construction, or rehabilitation. If these units open during the operating year and begin housing clients, all costs associated with their development and operation are lumped together under the category “Facilities developed with capital funds and placed in service during the operating year”. Facilities that received operating subsidies only, i.e. did not receive development funds, should be reported under the category of “Facilities that received operating subsidies/leased units”.

Project-based rental assistance is a type of housing assistance where rental subsidies are provided to households in particular units in specific buildings. When the residents move, the rental subsidy remains with the unit to be used by the next eligible household. If the lease of an apartment is in the name of the grantee or sponsor agency, the apartment should be considered a facility for the purposes of reporting. Households in these units would fall under the category “Facilities that received operating subsidies and leased units.” If you have questions regarding how to classify the types of housing assistance your program provides, please contact your TA provider.

## Part 3, Section 1: Performance Planned Goal and Actual Chart

The Performance Planned Goal and Actual Chart includes six columns. In column a, report on the number of households or units you had planned to assist with HOPWA funds for each HOPWA-eligible activity. Look for these output goal numbers in your Annual Action Plan or Consolidated Plan. In column b, report on the actual number of households or units assisted with HOPWA funds for each activity. In column c report on the number of households or units you had planned to assist wholly with non-HOPWA funds for direct housing. In column d, report the number of households or units that actually received each type of housing assistance through leveraged, non-HOPWA funds. Only report on households whose housing assistance was wholly funded with leveraged funds, for instance households who received their entire housing subsidy through private foundations or Section 8 subsidies. To avoid duplicating HOPWA households, do not include households that received leveraged funds for only a portion of their housing assistance. Households that received leveraged funds for supportive services only should also not be included in this column. In column e, report on the amount of HOPWA dollars you had budgeted in your Annual Action Plan or Consolidated Plan for each HOPWA-eligible activity. In column f report on the Actual amount of HOPWA funds expended within the program year for each activity. Do not base the expenditures column on draw downs. Ideally, the amount of funds drawn down during the program year would correspond with the actual funds expended, however typically there is a lag between when funds are expended and when funds are drawn down. Report on actual expenditures.

Make sure to complete all relevant columns. If you report that households received housing assistance in column b, you must also report the amount of HOPWA funds expended in column f. Likewise if you report HOPWA expenditures, there must be households associated with these costs. This rule holds throughout the entire report. If HOPWA funds are being utilized to provide housing assistance, supportive services, or housing placement assistance, you must report the number of households served with these funds. Likewise, if a household receives a specific supportive service, for example transportation, or substance abuse counseling, you must track and report the expenditures associated with providing these services.

In the Consolidated Plan and Annual Action Plan, grantees set goals for the number of households they plan to serve with each HOPWA-eligible activity as well as the amount of funds they plan to expend to provide this activity. If you report household output targets in column a, then you must report the amount of HOPWA-funds you had budgeted to serve these households in column e. Likewise, if you report that funds were budgeted to provide HOPWA activities, then you must report the number of households you had planned to assist.

If you report that households were assisted with housing assistance through non-HOPWA leveraged funding in column d, you must report the sources of funding and leveraged dollars going towards housing assistance in Part 2, column 2. Information on this section of the CAPER can be found on slide 4.

In the first four lines of the Performance Planned Goal and Actual Chart report an unduplicated count of the number of households receiving housing assistance in column b. For households in facilities developed with capital funds and just opened within the program operating year, report this household in either line 3a under permanent facilities or in 3b under transitional facilities. Even though the recently-opened facility may have also received operating subsidies, the households and expenditures associated with these units should not be included in line 2a or 2b. Report these households and expenditures in one line.

In Line 6 column b of the Performance Planned Goal and Actual Chart, report the total number of households that received housing assistance. The total household number you report should be unduplicated. If a household switched from one type of housing assistance into another type of housing assistance within the program year, adjust for duplication in line 5. The adjustment for duplication enables the calculation of an unduplicated total household number by accounting for the total number of households that received more than one type of assistance.

In the example given on this slide, the grantee is reporting an adjustment for duplication of 5. This typically means that 5 households switched from 1 type of housing assistance to another, for instance from STRMU to TBRA. If the same 5 households received TBRA and STRMU, you would report the 5 households under both TBRA and under STRMU. In order to make sure that you are reporting an unduplicated total number of households, you would need to adjustment for duplication in line 5. The yellow box on the slide, gives you a formula to check your data. Line 1 + line 2a + line 2b + line 3a + line 3b + line 4 minus line 5 = line 6.

Occasionally you might have a household that received three types of housing assistance within a given program year. For instance, a household could potentially receive STRMU, TBRA, and Transitional Facility-based Housing Assistance within 1 program year. In this case the adjustment for duplication you would include for this household in order to calculate an unduplicated total household count would be 2.

## Part 3, Section 1: Performance Planned Goal and Actual Chart

There are three reporting errors on this page. First try to identify the errors. Make a guess, and click the slide to see if you are correct. Mistakes will appear in red.

Notice that in line 1, the grantee reported that \$95,000 HOPWA dollars were spent to provide Tenant-based Rental Assistance, however, the grantee reports that 0 households received HOPWA funded Tenant-based Rental Assistance. If the grantee spends HOPWA dollars on a particular activity, there must be households benefiting from these funds.

Likewise, in line 4, column b the grantee reported that 25 households received HOPWA-funded STRMU, however, the grantee did not report the amount of HOPWA funds expended on STRMU in column f. If households were served with HOPWA-funded housing assistance, you must report the costs associated with these activities.

In line 2a, the grantee reported in column a that they had planned to serve 5 households with Permanent Facility-based Housing Assistance, however in column e, the grantee reported that they had budgeted \$0 to serve these 5 households. While this could be the case, typically if the grantee or project sponsor sets a household goal number in their Annual Action Plan, they will also budget funds to serve these households. Likewise, if HOPWA funds are budgeted to provide housing assistance, grantees and project sponsors typically set goals for the number of households they plan to serve with these funds.



## Part 3, Section 1: Performance Planned Goal and Actual Chart

For Capital Development Projects, report in column b the number of units being developed with capital funding, but not yet opened as of the end of the program year. These are units receiving HOPWA funds for acquisition, rehabilitation, or construction. Report the development costs in column f. Units that have opened within the program year and have begun to serve clients should not be reported in this section. Refer to slide 7 for information on where to report facilities opening within the program year. In column a and column e report your planning numbers for units being developed with HOPWA capital funding, but not yet opened. In column d, report on units developed solely with non-HOPWA funds during the program year that have not yet been opened. These are units being developed wholly with leveraged funds for the purpose of housing HOPWA eligible-households. In column c, report on the number of units you had planned to develop with non-HOPWA funds that have not yet opened.

Report all stewardship units in line 8, column b. Stewardship Units are units developed with HOPWA funds and subject to use periods, but are no longer receiving HOPWA funding for their operation or development. These units are subject to ten-year use agreements for acquisitions, new construction, and substantial rehabilitation and three-year use agreements if rehabilitation is non-substantial. You must keep track of these units and continue serving HOPWA-eligible households, even if HOPWA funds are not being used to support these units. Later in the report in Part 6, the grantee will include stewardship certificates for each of their stewardship facilities. The number of stewardship units reported in the stewardship certificates must correspond to the units reported in the Performance Planned Goal and Actual Chart in line 8, column b. Column c, d, e, and f of the Performance Planned Goal and Actual Chart should not be completed for stewardship units.

## Supportive Services Diagram (Slide 10)

For the purposes of HOPWA reporting, the Office of HIV/AIDS Housing separates project sponsors into two categories. Project sponsors that provide housing assistance are grouped together, and project sponsors that provide only supportive services are grouped together. If a project sponsor provides both housing assistance and supportive services they fall into the first group and are considered a project sponsor that provides housing assistance. This means that if a sponsor provides only 1 household with housing assistance, they are still categorized as a sponsor that provides housing assistance.

When reporting the number of households that received HOPWA-funded supportive services, separate households based on which type of sponsor they received their services from. If a household receives their supportive services from a sponsor that provides housing assistance, report this household in line 10a. If a household receives supportive services from a sponsor that provides only supportive services, report this household in line 10b.

If households received supportive services from more than 1 type of sponsor, you should estimate and adjust for duplication in line 11, so that the total number of households you report in the line entitled “Total Supportive Services” is unduplicated. For instance, if a sponsor that also provides HOPWA housing assistance provides case management to a household, and a project sponsor that is only contracted to provide supportive services provides substance abuse counseling to the same household, you would adjust for duplication to the degree possible so that your total count of households receiving supportive services is unduplicated.

You will notice that column c and d of this subsection have been blacked out. You are not required to report the number of households that received supportive services from non-HOPWA sources in the Performance Planned Goal and Actual chart.

## Part 3, Section 1: Performance Planned Goal and Actual Chart

The chart above has been filled out incorrectly. Try to find the error. To see if you are right, click on the slide. The error will appear in red.

The grantee that completed this section of the Performance Planned Goal and Actual Chart did not understand the purpose of the adjustment for duplication. The adjustment for duplication is supposed to enable the calculation of an unduplicated supportive services total by accounting for the number of households that received supportive services from more than 1 type of project sponsor. In this case, the grantee is reporting that all 60 households received supportive services from the same type of project sponsor. The only time you would need to adjust for duplication is if the same households were reported in both line 10a and 10b.

If a household is served by two different project sponsors of the same type, then this household would only be reported once in the Performance Planned Goal and Actual Chart. For instance, if a household receives supportive services from 2 sponsors, and the 2 sponsors both provide HOPWA housing assistance, this household would only be included once in line 10a. There would not be a need for an adjustment for duplication in line 11 because the grantee should already have de-duplicated. The only time an adjustment for duplication would be needed is if a household is included in both 10a and 10b - meaning that the household received supportive services from 2 different types of sponsors and is included twice in the chart.



## Part 3, Section 1: Performance Planned Goal and Actual Chart

This slide shows a continuation of the Performance Planned Goal and Actual Chart. In this subsection, you should report on housing placement assistance activities provided within the program year. Housing Placement Assistance includes Housing Information Services and Permanent Housing Placement Services. Housing information Services includes housing counseling, housing advocacy, information and referral services, fair housing information, housing search and assistance. Permanent Housing Placement is a supportive housing service that helps establish the household in the housing unit, including, but not limited to, reasonable costs for security deposits not to exceed two months of rent costs.

This information should be tracked separately from general case management. For each of these activities, report in column b the number of households that received these services and in column f, the costs associated with providing these services. You must report expenditures. This might require that you pro-rate the time spent by staff to provide these activities. Work with your TA providers to come up with a system to track these costs. Make sure that you adjust for duplication in line 15 if households received both Housing Information Services and Permanent Housing Placement Services. This adjustment for duplication ensures that the total number of households you report as having received housing placement assistance in line 16 represents an unduplicated number of households.

While you are required to report your planning goal numbers in column a, as well as your HOPWA budget for these activities in column e, you are not required to report on households receiving Housing Placement Assistance through Non-HOPWA funding.



## Part 3, Section 1: Performance Planned Goal and Actual Chart

For the remainder of the Performance Planned Goal and Actual Chart, report on grant administration and other activities. Resource Identification costs in line 17 should include costs to develop housing assistance resources, outreach and relationship-building with landlords, costs involved in creating brochures, web resources, and time to locate and identify affordable housing vacancies. In line 18, report on HOPWA funding used to pay for technical assistance in establishing and operating a community residence, including planning and other predevelopment or pre-construction expenses. These expense may include, but are not limited to, costs relating to community outreach and educational activities regarding HIV/AIDS for persons residing in proximity to the community residence. This line-item is not used very frequently. Refer to your grant agreement to determine if you were budgeted for this type of technical assistance. In line 19 report on funds expended by the grantee to administer the HOPWA program, and in line 20 report on funds expended by project sponsors to administer the HOPWA program. For more information regarding what sort of activities fall under the heading of administration please refer to your TA provider.

At the bottom of the page, report your total HOPWA expenditures during the program year. The total HOPWA Funds Expended should equal the sum of lines 6, 9, 12, 16, 17, 18, 19, and 20. You will notice that the current CAPER form does not have a subtotal line for Grant Administration and Other Activities. In the Total Expenditures line at the bottom of the chart, make sure to include lines 17, 18, and 19 in your sum. The current CAPER form has an error and asks you to only include line 20.

## Part 3, Section 2: Listing of Supportive Services

In Part 3, Section 2, report on the specific supportive services provided to households as well as the costs associated with these activities. Only households assisted with HOPWA funds should be reported in this chart. Do not include leveraged funds or households receiving services from leveraged funds in this chart.

For each line item, report on how funds are used. This should include the number of households that were served and the amount of HOPWA funds expended by type of supportive service. Although you might not have a separate line-item in your budget for each of these specific activities, you are still required to track which specific services you are providing. Do not combine everything under case management, unless this is the only supportive service provided. Work with your TA provider if you do not currently have a system for separating costs by these specific line-items. In some cases you may have to pro-rate your staff's time.

In line 15, include an adjustment for duplication for households receiving more than 1 type of supportive service. For example, on this slide, the grantee is reporting that 30 households received case management. 12 of these households also received Legal Services and 10 of these households also received Transportation. In order to report an unduplicated count of the total number of households that received supportive services in line 16, the grantee included an adjustment for duplication in line 15.

## **Supportive Services Diagram (Slide 15)**

The total number of households and expenditures reported in line 16 of the Supportive Services Chart must equal the total number of households reported to have received supportive services and associated expenditures reported in the Performance Planned Goal and Actual Chart in Part 3, Section 1, line 12.



## Part 3, Section 2: Listing of Supportive Services

There are three errors on this slide. Look for the errors. Click anywhere on the slide to see if you guessed correctly. Missing Information will appear in red.

The first two errors involve missing expenditure information. Remember that if households received specific supportive services as in this example, you must collect the expenditures associated with these services. Do not wrap up all of your costs under case management. If, for some reason, expenditure information was not collected, it is still important to report the number of households served. You must establish a system for separating costs by these specific line-items.

In addition to incorrectly reporting expenditures, this grantee reported that they served 40 households with case management, 40 households with life skills management, and 40 households with transportation. When added together, the sum of households served should have equaled 120, however this grantee reported that only 40 households in total were served. If households receive multiple types of supportive services, the adjustment for duplication must be included in line 15.

# Congratulations! You have completed Part 2 of the CAPER Training.

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