

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

Welcome to Part 3 of the HOPWA CAPER Training Module. Before you begin, here is some information that will help you navigate through the presentation more easily:

Part 3 of the CAPER Training Module should take approximately 25 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 3 focuses on Part 4, 5, and 6 of the CAPER.

Part 4 is the HOPWA Performance Outcomes Section. HOPWA's performance outcome measures include maintaining housing stability; improving access to care; and reducing the risk of homelessness for low-income persons living with HIV/AIDS and their families

Part 5 is an optional worksheet grantees can use to assess their program's housing stability outcomes.

Part 6 is the section in which grantees certify the continued usage of HOPWA Facility-based Stewardship Units.

Part 4, section 1: HOPWA Performance Outcomes- Housing Stability

While the Performance Planned Goal and Actual Chart provides valuable information regarding HOPWA housing outputs, it does not provide a measure for determining the effectiveness of HOPWA in meeting the goals of improving client's housing stability, health status, and quality of life. The client outcome data in Part 4 fills in the gap and helps show HUD your current assessment of what happens to participants as a result of HOPWA program efforts.

There are three outcome indicators for HOPWA. One of HOPWA's primary goals is to assist households in establishing or maintaining stable housing. Section 1 of the Performance Outcome Section asks grantees to report on households receiving housing assistance and their housing situation at the end of the program year or as known when they exited.

In section 2, grantees are asked to report their outcomes in reducing the risk of homelessness for households receiving Short-term Rent Mortgage and Utility Assistance, and in Section 3, grantees provide information on the status of households in terms of their ability to access benefits, health care services, and other support.

Part 4, section 1: HOPWA Performance Outcomes- Housing Stability

For each household that received HOPWA-funded tenant-based rental assistance, report on their housing situation at the end of the program year, or as known when they exited. You must report an outcome for each household. Notice that the first column in the Performance Outcomes chart contains a simple count of the number of households that received TBRA. This household number must equal the TBRA output number you report in the Performance Planned Goal and Actual Chart, in Part 3, Section 1, line 1.

Part 4, section 1: HOPWA Performance Outcomes- Housing Stability

For each household that received TBRA during the program year, report on their housing situation at the end of the program year, or as known when they exited. If a household is continuing in TBRA as of the end of the program year, report the household in column 2. If a household exited TBRA to some other result, report their housing status after exiting in column 3. To make sure that you are reporting outcomes for every household, add up the outcomes you are reporting in column 2 and 3. The sum of households reported in columns 2 and 3 must equal the total number of households reported in column 1. This same principle applies for Permanent Facility-based Housing Assistance.

In this example, a total of 25 households were served with Tenant-based Rental Assistance. 18 of these households were continuing with TBRA at the end of the program year and 7 of these households exited TBRA. The sum of households in column 2 and 3 equals the number of households reported in column 1.

Part 4, section 1: HOPWA Performance Outcomes- Housing Stability

For households that have exited, report the housing situation to which they exited in column 3. Most of the options are fairly straightforward, however if you are uncertain of where to report a household, please contact your TA provider. The category 'temporary housing' is typically used when a household gives up their lease and moves in with family or friends but expects to live there less than 90 days.

The category "Other HOPWA" can be used in one of two situations. The first is when a household exits one type of housing assistance for another type of housing assistance. For instance, if a household receiving STRMU transitioned to TBRA, you would mark "Other HOPWA." Information on this household would then also be reported under TBRA outcome data.

You would also mark "Other HOPWA" if a household transitions from receiving housing assistance under your HOPWA grant to receiving housing assistance under another HOPWA grant. This household would also be reported by the other grantee.

The category "Other subsidy" refers to households that exit HOPWA for some other type of housing subsidy, for instance, Section 8, HOME, Shelter Plus, etc. The category "disconnected/unknown" should only be used for households that you were unable to track, despite your best efforts. While it is not uncommon to report households as "disconnected," this category should not be used as a catch-all. A large disconnected number sends up a red flag because sponsors and case managers are required to track household stability outcomes.

Part 4, section 1: HOPWA Performance Outcomes- Housing Stability

For each household that received HOPWA-funded Permanent Facility-based Housing Assistance, report on their housing situation upon exiting the program or at the end of the program year. You must report an outcome for each household. The first column in the Performance Outcomes chart in Part 4, contains a simple count of the number of households that received Permanent Facility-based Housing Assistance. This household number must correspond to the Permanent Facility-based Housing output number you report in the Performance Planned Goal and Actual Chart you report in Part 3, Section 1, lines 2a and 3a.

Part 4, section 1: HOPWA Performance Outcomes- Housing Stability

For each household that received HOPWA-funded Short-term/Transitional Facility-based Housing Assistance, report on their housing situation upon exiting the program or at the end of the program year. You must report an outcome for each household. The first column in the Performance Outcomes chart in Part 4, contains a simple count of the number of households that received Transitional Facility-based Housing Assistance. This household number must correspond to the transitional facility-based housing output number you report in the Performance Planned Goal and Actual Chart in Part 3, Section 1 , lines 2b and 3b

Part 4, section 1: HOPWA Performance Outcomes- Housing Stability

For each household that received Transitional Facility-based Housing Assistance, you must report their housing status when they exited or at the end of the program year. In column 1, report the total number of households that received Transitional Facility-based Housing Assistance. If the household will continue in the next program year, report them in column 2, in the top highlighted box. If a household exited Transitional Facility-based Housing Assistance, report the housing situation to which they exited in column 3.

In the scenario on this slide, 50 households were served with Transitional/Short-term Facility-based Housing Assistance during the program year. 25 of these households were continuing at the end of the program year. 10 households exited and left for an emergency shelter, 10 left for "Other HOPWA" and 5 passed away. This grantee reported correctly, because there is an outcome for each household.

Part 4, Section 2: HOPWA Performance Outcomes- Prevention of Homelessness

In Part 4, Section 2 of the CAPER, report on the outcomes of households that received Short-term Rent, Mortgage, and Utility Assistance or STRMU during the operating year. Outcomes should be based on the household's housing situation at the end of the program year or as known when last receiving STRMU support. You should only include one outcome for each household, even if the household received multiple STRMU payments. If the household is still in the STRMU program at the end of the program year, then you should include an assessment of their housing status as of the end of the program year. If the household exited in the middle of the program year, then you should report an assessment of their housing status as known, such as the status at the time they last received a STRMU payment.

Part 4, section 2: HOPWA Performance Outcomes

For each household that received HOPWA-funded Short-term Rent Mortgage and Utility Assistance, report on their housing situation at last contact or at the end of the program year. You must report an outcome for each household. The first column in the Performance Outcomes Chart in Part 4, contains a count of the number of households that received STRMU. This household number must correspond to the STRMU output number you report in the Performance Planned Goal and Actual Chart, in Part 3, Section 1 line 4.

Part 4, Section 2: HOPWA Performance Outcomes- Prevention of Homelessness

In Part 4, Section 2, the grantee is asked to report outcomes for households receiving STRMU. In column 1, report the number of households that received STRMU during the program year. A household should only be reported once, even if the household received multiple STRMU payments. In column 2, report an outcome for each household that received STRMU during the grantee reporting year. The number of households reported in column 2, must equal the number of households in column 1.

If you have a question regarding use of the housing status categories in column 2, please ask your TA provider. Most of the categories are identical to the categories discussed earlier on slide 6. To clarify, the category “Maintain private housing without subsidy” should be used to report households that had received STRMU and are reasonably known or expected to be able to afford to stay in their house or apartment without a subsidy. The category “Other Private Housing without Subsidy” refers to households that had received STRMU, moved to a new house or apartment, and are currently not receiving a subsidy or expected to request support. If relocation is temporary, (no more than 90 days), that status should be reported as a “Temporary/Non-Permanent Housing arrangement”. Some STRMU recipients may need additional housing support. If this is the appropriate assessment of their status (as reasonably known at last contact) then report in the “Likely to maintain current housing arrangements, with additional STRMU assistance” category.

After completing the assessment of housing status for each household that received STRMU, there are two questions at the bottom of the chart that need to be answered. In Row 1a, enter the total number of households that received STRMU in the prior program year as well as the current program year. In Row 1b, enter the total number of households that received STRMU Assistance in the 2 prior operating years as well as the current program year. The number of households reported in Row 1b can not exceed the number of households reported in Row 1a. To give an example, if submitting a report for Program Year 2009, report in row 1a households that received STRMU in both PY 2009 and PY 2008. In Row 1b report households that received STRMU in PY 2009 as well as PY 2008 and PY 2007. In order for a household to be reported in row 1b, the household must have received STRMU in all three program years.

Part 4, Section 3: HOPWA Performance Outcomes- Access to Care and Support

One of HOPWA's primary goals is to increase client access to appropriate healthcare and supportive services. HOPWA's emphasis on stable housing is predicated on the idea that a stable housing situation serves as a base that allows clients to better access medical care and support. In Part 4, Section 3, grantees report at the end of each year on households that demonstrated improved access or continued access to care and support by having a housing plan, having contact with a case manager or benefits counselor, visiting a primary health care provider, accessing medical insurance or assistance, accessing or qualifying for income benefits and obtaining an income-producing job. By reporting Access to Care outcomes, grantees are able to demonstrate their program's success in stabilizing households, so that clients can better access needed care and support.

Part 4, Section 3: HOPWA Performance Outcomes- Access to Care and Support

For each household that received HOPWA-funded housing assistance you are required to report your assessment as known at last contact on their ability to access benefits, health care services, and other support in Part 4, Section 3, Chart 1A. You are required to report access to care outcomes for households that received HOPWA housing assistance, i.e. STRMU, TBRA, or Facility-based Housing Assistance, even if the household received their case management through non-HOPWA sources. This may require you to coordinate with other organizations to collect this information.

When completing the Access to Care Outcome Section, if you are unsure of what is considered a “source of income” or a “source of medical insurance”, please refer to Charts 1C and 1D in the CAPER. These charts give specific examples of different sources of income and sources of medical insurance. You can also refer to slide 16 of this presentation to see these charts.

In Chart 1B, you should report on the number of households with individuals that obtained an income-producing job as a direct result of HOPWA-funded job training, employment assistance, education, or related case management. If more than one person in the household obtained an income-producing job you should still only count this household once. Chart 1B is asking only about households that received HOPWA housing assistance as well as HOPWA-funded job training, employment assistance, education, or case management.

The number of outcomes you report in Chart 1A, and 1B of the Access to Care Section must not exceed the total number of households reported to have received housing assistance in Part 3, Section 1 line 6 of the Performance Planned Goal and Actual Chart. In the example on this slide, the grantee reported that 15 households received HOPWA-funded housing assistance. In the Access to Care section of the report, the grantee reported outcomes for these households. None of the lines in the Access to Care Outcome Section exceed 15, because only 15 households received housing assistance.

Part 4, Section 3: HOPWA Performance Outcomes- Access to Care and Support

In the Planned Goal and Actual Chart in Part 3, Section 1, line 10b, you are required to report a reasonable estimate of unduplicated households that received supportive services from project sponsors that provided only supportive services. In the example on this slide, 35 households received supportive services from this type of sponsor. In the Access to Care Outcome Section, in Part 4, Section 3, Chart 2A and 2B, you should report access to care outcomes for these households if the services provided involved case management or housing placement support. Reporting Access to Care Outcomes on households receiving only other supportive services such as mental health services or transportation is optional. The number of households reported in each line of Chart 2a and 2b in the Access to Care Section must not exceed the number of households reported in line 10b of the Performance Planned Goal and Actual portion of the report.

In Chart 2B, you should report on the number of households with individuals that obtained an income-producing job as a direct result of HOPWA-funded job training, employment assistance, education, or related case management. If more than one person in the household obtained an income-producing job you should still only count this household once. Chart 2B is asking only about households that received these services from sponsors funded only to provide supportive services.

When completing this section, if you are unsure of what is considered a “source of income” or a “source of medical insurance” please refer to Charts 2C and 2D in your CAPER. These charts are included on slide 16.

Part 4, section 3: HOPWA Performance Outcomes- Access to Care and Support

When completing the Access to Care Outcome Section in Part 4, Section 3, refer to the Sources of Income List in Chart 1C and 2C and the Sources of Medical Insurance and Assistance List in Chart 1D and 2D.

Part 5: Worksheet on Determining HOPWA Outcomes

Part 5 of the CAPER is optional, however grantees are encouraged to use this chart to assess the effectiveness of their program in meeting the HOPWA national goals of promoting housing stability and reducing the risk of homelessness.

Part 5E: Project Sponsor Information for Certification of Continued Usage

In the final section of the CAPER, grantees report on their stewardship units and facilities. Stewardship Units are units developed with HOPWA funds that 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. Facilities developed with capital funds during the program year as well as facilities currently receiving operating subsidies are not considered stewardship units. If the grantee does not have stewardship units, they should mark “n/a” for this section.

A separate stewardship certificate is required for each stewardship facility. If you do have stewardship units to report, please complete the entire stewardship certificate. In Chart 1, include the operating year dates for this report. Mark the year of continued usage. For instance, if a facility was constructed with HOPWA funds in the previous program year and didn’t receive any HOPWA dollars during this program year, the sponsor would mark “Yr 2” because this is the second program year in which the facility is being used. Last year, the facility would have been reported as a facility developed with capital funds and opening during the program year in the Performance Planned Goal and Actual Chart. However, during this program year, since the facility is no longer receiving HOPWA dollars, the grantee is required to complete a stewardship certificate.

In the second part of the stewardship certificate you should report the number of stewardship units as well as the amount of leveraged funds supporting these units. The column title “Number of Units Receiving Assistance with HOPWA funds” is not quite right. For this box, report on the number of units developed with HOPWA funds, but not currently being supported with operating or other HOPWA costs.

The box entitled “Amount of Leveraging from Other Sources Used” refers to any Non-HOPWA funding currently being used to provide HOPWA-eligible activities to HOPWA-eligible households in stewardship facilities. Relevant activities include housing assistance (including operating subsidies), supportive services, and housing placement assistance. Report leveraged funding associated with these activities.

The remainder of the Stewardship Certificate is fairly straightforward. For table 3, simply provide project site information such as the address. Make sure to mark whether or not the project site information is confidential. At the bottom of the certificate, include the Name and Signature of the Authorized Official, as well as the name and contact information for the grantee contact.

Finally, keep in mind that the total number of Stewardship Units you report in the Stewardship certificates must equal the total number of stewardship units you report in Part 3, Section 1, line 8 of the Performance Planned Goal and Actual Chart.

Congratulations! You have completed the Training

Congratulations! You have completed the CAPER training. If you have any questions please feel free to email HOPWA@hud.gov or contact your TA provider. For a list of TA providers click on the link provided.