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.

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.

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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.

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.