CDBG WEBCAST

HUD, OFFICE OF BLOCK GRANT ASSISTANCE

MODULE 8: *IDIS, Performance Measurement, Reporting*

WELCOME

❑ Training Presented by HUD, Office of Community Planning and Development, Office of Block Grant Assistance (OBGA)

- ◆ Richard Kennedy, Director, OBGA

- ◆ Steve Johnson, Director of Entitlement Programs

- ◆ Karen Pearce, CPD Specialist, Entitlement Division

- ◆ Margy Coccodrilli, CPD Specialist, Entitlement Division

CDBG TRAINING SERIES

❑ Eight modules in series:

- ◆ Module 1: Welcome, CDBG Statutory/Regulatory Context, National Objectives
- ◆ Module 2: State CDBG Program
- ◆ Module 3: Administration/Planning, Financial Management, Including Program Income
- ◆ Module 4: Housing and Other Real Property Activities
- ◆ Module 5: Public Facilities, Interim Assistance, Public Services and Other Activities
- ◆ Module 6: Economic Development, Including Public Benefit
- ◆ Module 7: Section 108
- ◆ **Module 8: IDIS, Performance Measurement, Reporting**

❑ Training presented by OBGA staff

❑ Available on HUD's website at: http://www.hud.gov/offices/cpd/communitydevelopment/programs/index.cfm

MODULE 8 TOPICS AND TRAINERS

❑ Topics:

 ◆ IDIS data entry

 ◆ Performance measurement

 ◆ Reporting

 ◆ Records

 ◆ Monitoring

❑ Trainers:

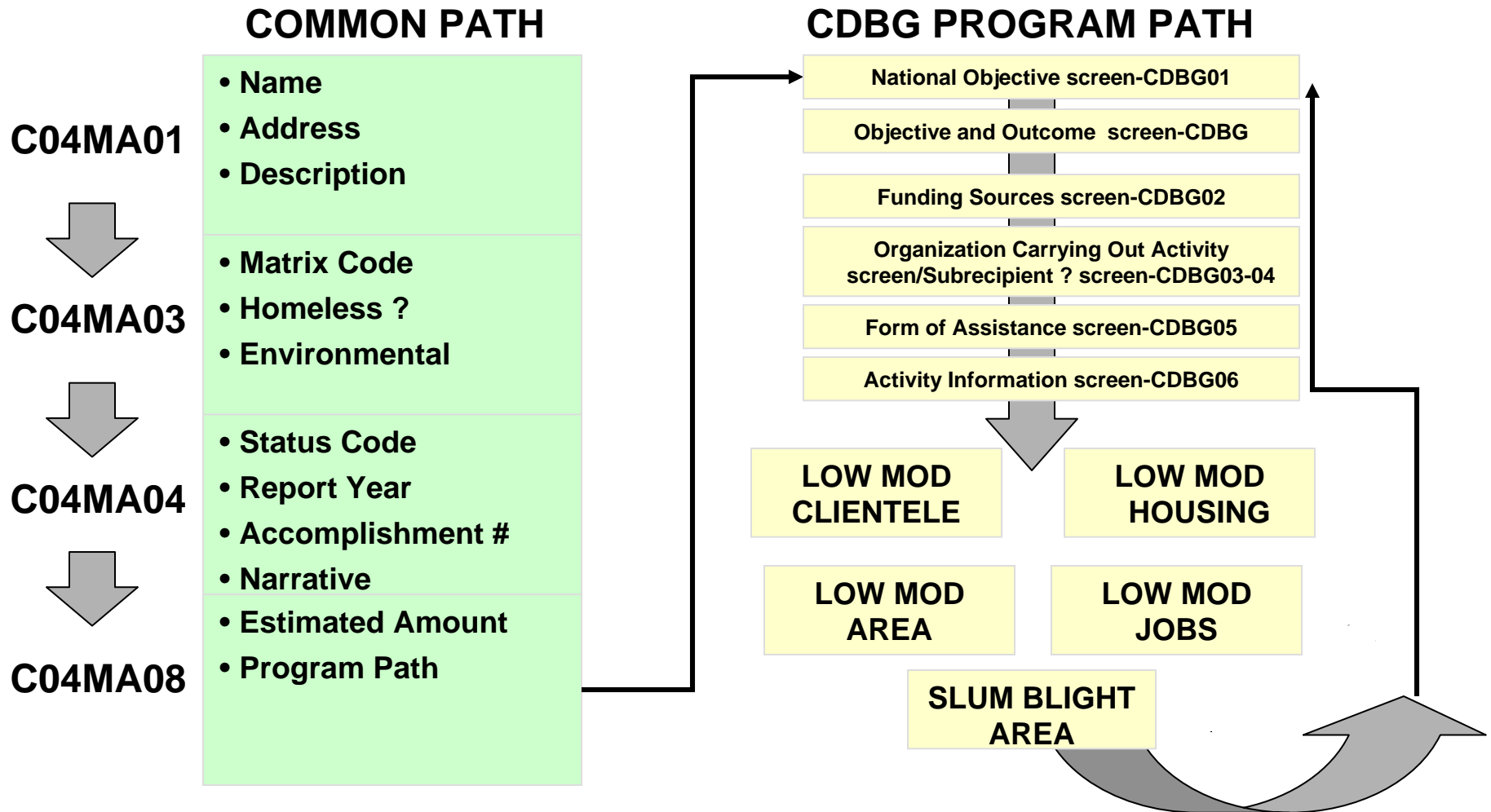 ◆ Karen Pearce

 ◆ Mary "Margy" Coccodrilli

INTEGRATED DISBURSEMENT AND INFORMATION SYSTEM (IDIS)

- ❑ IDIS is HUD's management information system

  - ◆ Used for all Community Planning and Development formula grant programs – CDBG, HOME, ESG, HOPWA

- ❑ Purposes of IDIS:

  - ◆ Drawdown and account for the use of funds

  - ◆ Collect and report information about funded activities and accomplishments

CDBG IDIS ACTIVITY PATH

COMMON PATH

C04MA01

- **Name**
- **Address**
- **Description**

C04MA03

- **Matrix Code**
- **Homeless ?**
- **Environmental**

C04MA04

- **Status Code**
- **Report Year**
- **Accomplishment #**
- **Narrative**

C04MA08

- **Estimated Amount**
- **Program Path**

CDBG PROGRAM PATH

- **National Objective screen-CDBG01**
- **Objective and Outcome screen-CDBG**
- **Funding Sources screen-CDBG02**
- **Organization Carrying Out Activity screen/Subrecipient ? screen-CDBG03-04**
- **Form of Assistance screen-CDBG05**
- **Activity Information screen-CDBG06**

LOW MOD CLIENTELE

LOW MOD HOUSING

LOW MOD AREA

LOW MOD JOBS

SLUM BLIGHT AREA

SET-UP AND DRAW DOWN

- ❑ Grantees set up and draw $$ for CDBG activities
  - ◆ Projects are taken directly from the grantee's annual action plan
  - ◆ One or more specific activities are under a project
  - ◆ Activities are where the majority of IDIS reporting occurs: set up, fund, draw, and complete
  - ◆ Activities are where accomplishments and performance measures are reported
- ❑ Example
  - ◆ Project: Street Improvements
    - ▪ Activity 1:Glover Park Street Improvements
    - ▪ Activity 2: Cherry Hill Street Improvements
- ❑ Grantees must enter IDIS data on:
  - ◆ Number and demographics of beneficiaries (under certain matrix codes)
  - ◆ National objective
  - ◆ CPD performance measures and accomplishments
- ❑ Specific type of data reported is based upon selected IDIS matrix code and national objective code

IDIS MATRIX CODES

- When setting up activity, use IDIS matrix codes -- examples:
  - ◆ 01 Acquisition of Real Property
  - ◆ 02 Disposition
  - ◆ 03A Senior Centers
  - ◆ 03C Homeless Facilities (not operating costs)

- Important to use correct, most specific matrix code
- Avoid use of general matrix codes such as 03 (public facilities and improvements) and 05 (public services)
- Use new code for housing counseling (5U)
- If uncertain, check matrix code use with HUD

IDIS DATA ENTRY

❑ Data must be reported at least at the end of each program year

❑ Recommend more frequent data entry

AVOID IDIS DATA ENTRY ERRORS

❑ Ensure:
- ◆ Data is reported in a timely fashion
- ◆ Consistency of data across CDBG activities
- ◆ Information is substantially complete

❑ Avoid:
- ◆ Duplicative information
- ◆ Missing or inaccurate leveraged funds data
- ◆ Inaccurate beneficiary income data
- ◆ Missing income level data for presumed benefit activities
- ◆ Inaccurate counts of jobs created/retained
- ◆ Missing accomplishment data for activity delivery cost activities

❑ Suggest:
- ◆ Protect the privacy of households receiving housing assistance
- ◆ Report one assisted business per economic development activity

DATA CLEAN-UP

❑ Grantees are required to enter complete, timely and accurate IDIS data

❑ Four worksheets assist grantees to identify and address issues:

   ◆ Missing data

   ◆ Incorrect matrix code and national objective combinations

   ◆ Inaccurate or inconsistent accomplishment data

   ◆ Missing Organization Name on the CDBG03 screen

❑ Worksheets are on HUD website

   ◆ http://www.hud.gov/offices/cpd/communitydevelopment/cleanup/

   ◆ Updated monthly -- Grantees should review periodically

IDIS REPORTS

❑ Grantees can generate IDIS reports to track and evaluate periodic and annual progress

  ◆ BOSMAC—an exciting tool developed by Boston Field Office

❑ Use reports:

  ◆ PR03: Grantee Performance Report

  ◆ PR06: Summary of Consolidated Plan Projects for Program Year ####

  ◆ PR23: Summary of Accomplishments

  ◆ PR26: CDBG Financial Summary Report

  ◆ PR83: CDBG Performance Measures Report

  ◆ PR84: CDBG Strategy Area, CDFI, and Local Target Area Report

  ◆ PR85: Housing Performance Report

GRANTEE REPORTS ON THE HUD WEB SITE

❑ Available for each grantee by program year:
- ◆ Performance Profiles
- ◆ Expenditure Reports
- ◆ Selected Accomplishments

❑ Grantees can use reports to assess local/state CDBG program performance

❑ HUD reports IDIS data to entities that evaluate CDBG program: Congress, GAO, OMB, IG

❑ Data is aggregated to demonstrate progress toward HUD goals and strategies

Community Development Block Grant Performance Profile

Entitlement Community: XXXXXXX
**Program Year From 10/1/2005 To 9/30/2006**

Program Year 2005 Funds

2005 CDBG Allocation	$20,475,665.00
Program Income Receipted During Program Year	$8,289,874.85

Total Available [1] $28,765,539.85

Expenditures [2]

Type of Activity	Expenditures	Percentage
Acquisition	$782,494.39	3.09%
Economic Development	$1,449,939.67	5.73%
Housing	$7,074,996.92	27.94%
Public Services	$3,420,327.52	13.51%
Public Improvements	$1,780,333.81	7.03%
Administrative and Planning	$3,843,623.11	15.18%
108 Loan Repayments	$6,967,505.40	27.52%
Total Expenditure	**$25,319,220.82**	

Expenditures By Type of Activity
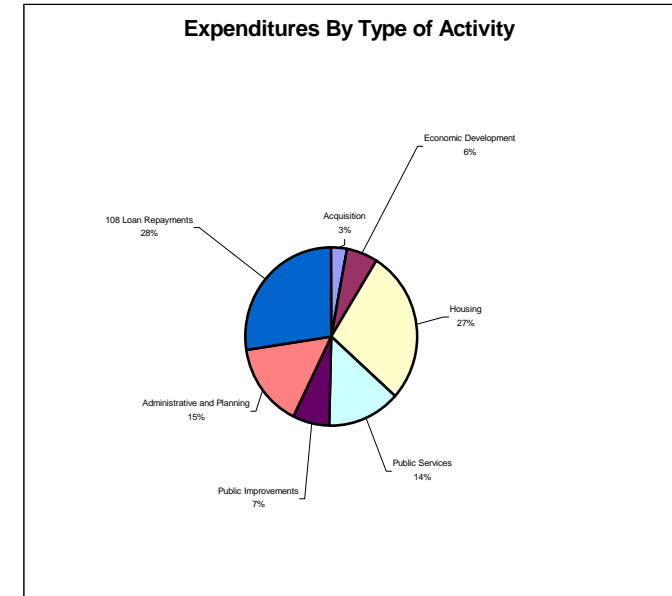
Timeliness

Timeliness Ratio - unexpended funds as percent	0.91
2004 National average	1.28

**Program Targeting**

Percentage of Expenditures Assisting Low- and	99.83%
Percentage of Expenditures That Benefit Low/Mod Income Areas	14.23%
Percentage of Expenditures That Aid in The Prevention or Elimination of Slum or Blight	0.10%
Funds Expended in Neighborhood Revitalization Strategy Areas and by Community Development	$0.00
Percentage of Funds Expended in Neighborhood Revitalization Strategy Areas and by Community Development Financial Institution	0.00%

CDBG Beneficiaries by Racial/Ethnic Category [4]

Race	Total	Hispanic
White	51.87%	27.45%
Black	44.86%	0.09%
Asian Pacific Islander	0.00%	0.00%
American Indian/Alaskan Native	0.13%	0.01%
Asian	0.43%	0.01%
Hawaiian/Other Pacific Islander	0.01%	0.00%
American Indian/Alaskan Native & White	0.00%	0.00%
Asian & White	0.00%	0.00%
Black & White	0.09%	0.00%
American Indian/Alaskan Native & Black	0.01%	0.00%
Hispanic Ethnic	0.00%	0.00%
Other Multi-Racial	2.59%	1.12%

Income of CDBG Beneficiaries [4]

Income Level	Percentage
Extremely low Income (<30%)	1.01%
Low Income (30-50%)	2.86%
Moderate Income (50-80%)	91.88%
Total Low and Moderate Income (<80%)	95.75%
Non Low and Moderate Income (>80%)	4.25%

Income of CDBG Beneficiaries [4] (For Direct Benefit Activities)
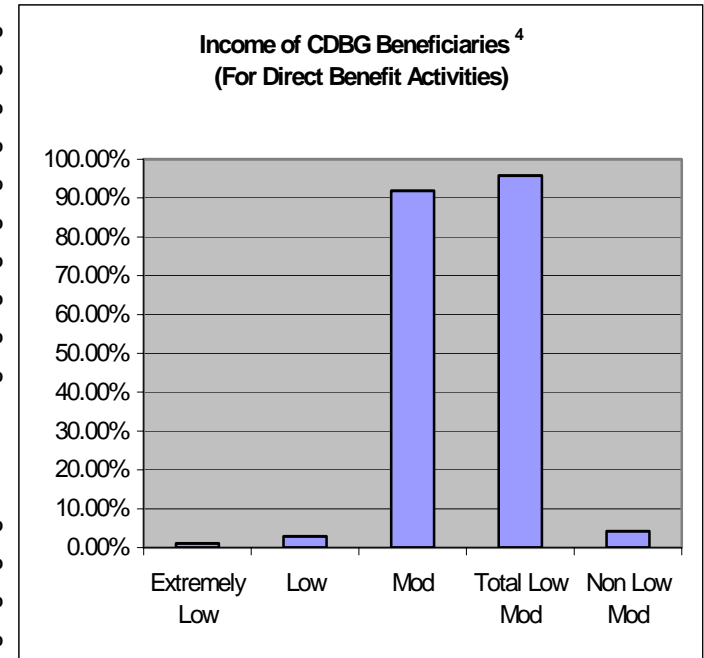
Program Year 2005 Accomplishments

Number of Actual Jobs Created or Retained	6
Number of Households Receiving Housing	448
Number of Persons Assisted Directly, Primarily By	25,122
Number of Persons for Whom Services and	326,259
Number of Units Rehabilitated - Single Units	429
Number of Units Rehabilitated - Multi-unit Housing	0

IDIS RESOURCES

- ❑ IDIS Reference Manual
  - ◆ http://www.hud.gov/offices/cpd/systems/idis/library/refmanual/index.cfm
- ❑ Matrix Codes in IDIS
  - ◆ http://www.hud.gov/offices/cpd/systems/idis/training/cdbgxref.cfm
- ❑ Guidance on Reporting CDBG Accomplishments in IDIS/Sample Accomplishment Reports
  - ◆ http://www.hud.gov/offices/cpd/communitydevelopment/cleanup/guidance/
  - ◆ http://www.hud.gov/offices/cpd/communitydevelopment/library/accomplishments/
- ❑ CDBG Performance Profiles
  - ◆ http://www.hud.gov/offices/cpd/communitydevelopment/library/performanceprofiles/
- ❑ CDBG Data Clean up Spreadsheets
  - ◆ http://www.hud.gov/offices/cpd/communitydevelopment/cleanup/
- ❑ Technical Assistance Unit
  - ◆ 1-800-273-2573

CPD PERFORMANCE MEASUREMENT SYSTEM

- ❑ Common performance measures that apply to all four CPD formula grant programs

- ❑ Outcome measures are driven by local intent

- ❑ Indicators use data commonly collected by grantees

- ❑ HUD will "roll up" results to national level

- ❑ http://www.hud.gov/offices/cpd/about/performance/

CPD PERFORMANCE MEASUREMENT SYSTEM (cont)

❑ For each activity that a grantee funds (does not cover all CDBG eligible activities and specifically not administration and planning costs):

1. Determine the objective of the activity based on local intent, as stated in the Con Plan

2. Identify <u>one objective</u> and <u>one outcome</u> for each activity in Con Plan submissions (e.g., next Annual Action Plan)

3. Indicate the <u>objective</u> and <u>outcome</u> in IDIS when setting up an activity

4. Report on applicable <u>indicators</u> in IDIS (applicable screens) and CAPER/PER narratives and charts

CPD PERFORMANCE MEASUREMENT SYSTEM (cont)

- ❑ Three Objectives:

    - ◆ Creating Suitable Living Environments

    - ◆ Providing Decent Affordable Housing

    - ◆ Creating Economic Opportunities

- ❑ Reflect the statutory purposes of the four programs

- ❑ Tie directly to HUD's Strategic Plan and grantee's Con Plan

CPD PERFORMANCE MEASUREMENT SYSTEM (cont)

❑ Three Outcomes:

- ◆ Availability/Accessibility
- ◆ Affordability
- ◆ Sustainability

❑ To determine the most appropriate outcome for an activity, ask:

"What type of change or result
am I seeking?"

CPD PERFORMANCE MEASUREMENT SYSTEM (cont)

❑ Outcome statements are used to present national results

❑ Objective + Outcome = Outcome Statement

❑ Example: *Affordability for purpose of creating suitable living environments*

In FY ___, the CDBG Program assisted over 150,000 households by providing downpayment and closing cost assistance for the purpose of making homeownership affordable to these families

CPD PERFORMANCE MEASUREMENT SYSTEM (cont)

❑ ## Common Indicators (4)

- ◆ Generally apply to all activities

- ◆ Only report individual beneficiary data if you are required to report these data under current program requirements (e.g., activities done under Area Benefit national objective don't have to report individual beneficiary data)

- ◆ Only report on the income levels that you are currently required to report (60% <u>only</u> applies to HOME not CDBG)

❑ ## Specific Indicators

- ◆ 18 indicators, many with several data items

- ◆ Applicable indicators determined by type of activity

- ◆ Only report on data items relevant to the specific activity performed

REPORTING REQUIREMENTS

- ❑ Annual report called Consolidated Annual Performance and Evaluation Report (CAPER)

- ❑ States submit a Performance Evaluation Report (PER)

CAPER CONTENTS

- CAPER/PER must include two major parts:

  - Narrative component

    - Consolidated Plan progress elements
    - CDBG-specific elements

  - Financial reports

- Check with your Field Office

  - What they expect to be submitted
  - Can use IDIS reports for information

SUBMISSION & REVIEW OF THE CAPER/PER

- ❑ Grantee must submit annual report to HUD within 90 days of close of program year

- ❑ Prior to submission, grantee must make report available to public for at least 15 days

- ❑ Grantee must summarize comments and make final report available to public

RECORDKEEPING REQUIREMENTS

❑ Appropriate activity documentation maintained to ensure compliance

❑ Major categories of records to be kept:

  ◆ General administrative

  ◆ Financial

  ◆ Project/activity

  ◆ National objectives

  ◆ Income documentation

  ◆ Subrecipients

RECORD RETENTION

❏ Record retention

- ◆ Entitlements maintain records for **four years** following end of program year activity funded

- ◆ States and UGLGs maintain records for **three years** following closeout

- ◆ Consistent with Consolidated Plan requirements

❏ Public access to records

- ◆ Citizens must have reasonable access

- ◆ Citizens must be provided timely information

- ◆ HUD, Comptroller General have access

MONITORING

❑ Grantees are responsible for compliance with CDBG and other Federal rules & requirements

❑ Monitoring of projects and programs helps to ensure compliance and evaluate performance

MONITORING (cont)

❑ The monitoring process usually includes:

- ◆ Developing a plan

- ◆ Standardizing procedures

- ◆ Identifying "risky" subrecipients for first or more detailed reviews

- ◆ Establishing a schedule

- ◆ Preparing for the visit

- ◆ Conducting the visit

- ◆ Follow-up and/or intervention

MONITORING SUBRECIPIENTS

- ❑ Subrecipient performance must be reviewed at least annually

- ❑ Level one: overall subrecipient performance, productivity and capacity

- ❑ Level two: programmatic and administration and finance

- ❑ Level three: project/program specific review

MORE INFORMATION

❑ For more information on CDBG, go to:

- ◆ HUD Field Offices
  - ■ http://www.hud.gov/local/

- ◆ HUD CDBG website
  - ■ http://www.hud.gov/offices/cpd/communitydevelopment/programs/index.cfm

- ◆ CDBG laws and regulations
  - ■ http://www.hud.gov/offices/cpd/communitydevelopment/programs/index.cfm

MORE INFORMATION (cont)

❑ For more information on CDBG, go to:

- ◆ Guide to Eligible Activities and National Objectives for Entitlements

  - http://www.hud.gov/offices/cpd/communitydevelopment/library/deskguid.cfm

- ◆ Guide to Eligible Activities and National Objectives for States

  - http://www.hud.gov/offices/cpd/communitydevelopment/library/stateguide/

❑ Thanks for your work using CDBG build and sustain communities!