Capacity Building Grant Programs (Section 4 and RCB) Work Plan Guidance

BACKGROUND

Work plans are the primary tool HUD uses to manage capacity building grant activities to ensure that costs are allocable, allowable, reasonable and necessary. They describe the use of grant funds and communicate changes via work plan amendments when they arise. However, many work plans fail to include complete information and require countless revisions and time needed to make those revisions. This document was designed to address the shortcomings of current work plan submissions and communicate work plan expectations to Section 4 and Rural Capacity Building for Community Development and Affordable Housing (RCB) grantees.

OVERVIEW

This work plan guidance is organized into four parts as outlined below:

- A. **Work Plan Structure**—Describes work plan categories and components to address in a work plan,
- B. **Narrative and Data**—Defines the narrative and data expectations for each work plan category and component,
- C. **Adaptable Design**—Describes strategies for constructing an adaptable work plan to minimize the need for amendments, and
- D. **Achieving Zero Based Budget**- Provides zero-based budget guidelines to increase transparency and foster greater accountability.

A. Work Plan Structure

The capacity building grant program (Section 4 and RCB) work plan components are structured into seven categories (see Table 1). The seven categories help divide the work plan components into groupings that can be paired with similar information to produce a more efficient work plan submission.

By implementing these components, grantees will produce more comprehensive work plans and streamline program accomplishment reporting. In addition, the work plan components will instill greater consistency in the Section 4 and RCB program data HUD reports to Congress, OMB and other program stakeholders. All work plan components identified in the Guidance are consistent with the expectations of the fiscal year NOFAs grant agreements, and OMB recommendations.

HUD will reference these work plan components when reviewing grantee submissions with the expectation that all components (as applicable) will be integrated into each work plan submission prior to HUD approval. The work plan categories and components are listed below.

Table 1: Workplan Structure

Work Plan Category	Work Plan Components
1. Grant/Work Plan Overview	HUD Award #, Award Period of Performance, Work Plan Name, Program Contact, Work Plan Contact, Grant Fund Budget Amount, Total Work Plan Budget, Work Plan Period of Performance, Eligible Activity Category, Work Plan Summary
2. Document Need and Purpose	Summary of Need, Capacity Building Strategy
3. Place and People to be Served	Location of Activities, Communities, Populations, and Organizations to be Served
4. Tasks and Implementation	Tasks, Responsible Organization, Timeline
5. Evaluations	Procedures and Tools for Evaluating Progress, Performance Outputs
6. Budget	Detailed Budget, Budget Narrative
7. Amendment Tracking	Amendment Tracker

B. Narrative and Data Expectations

The work plan components described above, recommend specific narrative and/or data entries for HUD work plan approval. This section of the Work plan Guidance will define the narrative and/or data entry expectations for each work plan component within the seven categories.

1. *Grant/Work Plan Overview*

The grant and work plan overview category includes ten components that should be displayed on the first page of all work plan submissions unless reported in the Disaster Recovery Reporting System (DRGR). These components are used to align the work plan with the respective grant and track it within the portfolio of all work plans. The components in the grant and work plan overview category also help HUD track the grant funding budgeted relative to the total funding allocated for the grant. Utilizing these 10 work plan components, will help minimize work plan approval delays.

The definitions for each of the components in the grant and work plan overview category are summarized in **Attachment A—Work Plan Component Checklist**.

2. *Document Need and Purpose*

a. Summary of Need

The summary of need is a narrative, accompanied by data describing the capacity building need. The narrative will identify all needs to be addressed in the work plan, such as employment, affordable housing, or access to health resources. The narrative will also identify the scope of the need (geography/population). Data supporting the narrative can be presented as a chart, map, figure, or graph. All data should come from reliable sources and be properly documented.

The summary of need component should align with the need factor discussion in Rating Factor 2 of the awarded Section 4 or RCB application. Consistency with the grant application ensures that the work plan complies with the program design described in the awarded application and the terms of the grant agreement. If the needs have changed, the change should be identified and explained in the narrative.

b. Capacity Building Strategy

The capacity building strategy is a narrative that summarizes the type of capacity building services/techniques that will be used to address the identified need and the rationale for choosing the services/techniques. The narrative should include past experience using the services/techniques or best practices from projects of a similar scope in which the services/techniques were utilized. It is important to draw parallels between the scale and scope of the work plan activities and the services/techniques selected. This strategy should be consistent with Rating Factor 3 of the awarded application. Grantees wishing to undertake strategies different from those in the approved application should consult their HUD representative prior to submitting the work plan.

3. *Place and People to be Served*

a. Location of Activities

The locations (community/state) to be served should be clearly identified. These locations can be delivered in narrative, through a list, and/or by developing a map. The locations of work plan activities should be consistent with the geographies and markets proposed to be served within the awarded application. The grantee should also describe how the locations to be served align with the summary of need described in *Section A.2* above.

If a grantee is unable to identify the specific locations to be served at the time of the work plan submission, as an interim step, a summary of the process to select locations can be

submitted. The process summary should describe the review steps and selection criteria to be used to identify final locations. The results of the selection process should be covered in the semi-annual report submission.

b. <u>Communities, Populations, and</u> <u>Organizations/ to be Served</u>

The communities, populations, and organizations (beneficiaries) to be served may be identified through a narrative or list. These beneficiaries should be consistent with the beneficiaries proposed to be served in the awarded application. The grantee should also describe how the beneficiaries to be served align with *Summary of Need* addressed in *Section A.2* above.

If the information on beneficiaries to be served is not available at the time of work plan submission, a summary of the process that will be used to identify these entities should be included in the work plan. To the extent that the work plan deviates from the vision outlined in the awarded application, please consult your HUD representative for prior approval.

4. **Tasks and Implementation**

The tasks, responsible organization, and timeline are interconnected and should be discussed in parallel.

a. <u>Tasks</u>

Each task should include a description summarizing the implementation process and should be directly linked to a capacity building strategy discussed in *Section A.2* above and in Rating Factor 3 of the awarded application.

b. <u>Responsible Organization</u>

There should be a responsible organization/entity associated with each task (i.e. grantee, contractor, consultant, or partner). If a responsible organization has not been identified or procured for a specified task(s), the grantee should outline the process and selection criteria that will be used to make the selection and list the results in the semi-annual/annual report to HUD.

c. <u>Timeline</u>

Timelines for the work plan and individual tasks should be communicated with month and year start/end dates. Tasks cannot begin prior to executing a grant agreement or before the work plan has been approved. All work plans should be completed before the end of the grant term. Expenditures on work plans outside of these parameters cannot be charged to the federal award. If questions arise about period of performance or the workplan approval process contact your assigned HUD representative.

The three work plan components – tasks, responsible organization, and timeline – can be communicated in table format. A sample is provided in Table 2.

Table 2: Work Plan Implementation Tasks

#	Task/Description	Responsible Organization	Start—End Date (mm/yy—mm/yy)
1	**Grant awards to CDCs to support creation of healthy communities**: Award of 6 grants to metropolitan area CDCs to support the hire/retention of full or part time staff to lead or assist with health initiatives that raise awareness of healthy lifestyles and improve the community to promote positive health outcomes.	XYZ, Inc.	09/15–3/17
2	**Delivery of a 2 day regional green housing conference:** Delivery of a 2 day regional green housing conference with participants from 5 states and 75 organizations. Will include classes, case studies, and presentations from vendors and industry professionals.	ABC Corp.	11/15–11/15
3	**Capacity building trip to educate local CDCs on internal controls:** Trip to provide direct technical assistance to 3 CDCs in rural America. Will travel directly to their local office and work through their existing policies and systems to make strategic improvements in management and capacity. Engagement will improve the ability of these CDCs to handle their HOME funds and to apply for additional funding sources in the future.	BZK, Inc.	2/16—2/16

5. Evaluations

a. <u>Procedures and Tools for Evaluating Progress</u>

Consistent with Rating Factor 5 of the awarded application, this section should contain the procedure(s) for how the grantee will monitor and evaluate the work being done, including the protocols and resources for collecting updates and data from contractors, consultants, field offices, affiliates, and sub-recipients. It should also explain the tools used to collect and analyze qualitative and quantitative work plan data. The results of monitoring and the evaluations completed should be included in the semi-annual/annual reports.

b. <u>Performance Outputs and Outcomes</u>

HUD developed a common list of OMB approved outputs that are applicable to all activities Section 4 and RCB capacity building grantees carry out. The consolidated list of performance outputs will help HUD aggregate grantee accomplishments, increase accountability and assess grant fund investments. Performance outputs should be selected from the list provided in **Attachment B –Performance Output Reporting Tool** and cited in the work plan with proposed targets. These outputs have also been uploaded to DRGR for reporting performance on FY2015 grant awards.

All performance targets identified in the work plan should be reported and compared to actual accomplishments in the semi-annual/annual reports. Grantees will also be expected to provide a performance narrative in semi-annual/annual reports that explain the difference between targets and actuals and provide additional details not included in the work plan (i.e. locations to be served and/or organizations to be served). As applicable, the semi-annual/annual report should also showcase any unique accomplishments that were not realized during the report period.

The semi-annual/annual report should include a statement that summarizes outcomes achieved from work plan implementation activities. These outcomes should tie back to the overarching program goal to address the capacity building needs of local non-profits, local governments, and Indian Tribe to develop and implement effective housing and community development projects.

6. *Budget*

a. <u>Detailed Budget</u>

All work plan submissions should include a detailed budget with sources and uses that add up to the total amount of funds allocated from all sources of the work plan. Grant fund costs identified in the budget should be classified as direct or indirect. Grantees should also identify the applicable match/leverage amount and sources. Below, these budget items are

discussed in more detail. FY 14 and prior awards refer to 24 CFR Part 84 and OMB Circular A-122 and FY 15 and later awards refer to 2 CFR 200.412-414.

   i. Direct Costs (refer to 24 CFR Part 84 and OMB Circular A-122 or 2 CFR 200.413)

Direct costs are *those costs that can be identified specifically with a particular final cost objective* associated with the use of Section 4 or RCB grant funds (Federal Award) to implement this work plan. Additional details are provided in **Attachment C –Direct Cost Examples and Definitions**.

   ii. Indirect Costs

As stated in OMB Circular A-122 and 2 CFR Part 200, indirect costs are *those that have been incurred for common or joint objectives and cannot be readily identified with a particular final cost objective*. Indirect costs are calculated as a percentage of the direct costs charged to the work plan based on the grantee's indirect cost allocation plan. Grantees should have an approved indirect cost rate in order to charge indirect costs to the work plan and the amount charged for indirect costs may not exceed the approved rate.

If a grantee does not have an approved indirect cost rate, then they should contact HUD for procedures on how to obtain a rate. For FY 15 and later awards HUD will allow non-profit grantees and sub-recipients that have never had an approved indirect cost rate to utilize a de minimis 10 percent indirect cost rate in line with the new Cost Principles guidance provided in 2 CFR 200.414.

   iii. Administrative Costs

Administrative expenses include those direct grant project costs that are not covered under the indirect cost category discussed in this guidance and are essential for the delivery and/or management of the grant project. Some eligible administrative expenses include

- Salaries of executive officers and staff with general program oversight responsibilities;
- Staff time spent for the development of general Section 4 or RCB program policies and procedures, such as the monitoring of overall program performance; and
- Management of consultant or contractor agreements.

Administrative costs can be tracked in one of two ways, either as a separate line item appearing in each individual work plan budget or a separate work plan covering administrative expenses for the entire grant award.

iv. Match/Leverage Narrative

Section 4 and RCB grantees are responsible for including match or leverage (by source) contribution line items in their work plan budget. The match or leverage contributions included in the budget should only be those contributions that will be used to directly implement the work plan tasks.

If the work plan has cost items that do not align with one of the four classifications identified in Table 3 consult your HUD representative.

Table 3: Work Plan Detailed Budget		
1.	Personnel Salary	$70,000
	Project Manager	$20,000
	Lender	$15,000
	Grants Manager	$35,000
2.	Personnel Fringe Benefits	$14,000
	Project Manager (20%)	$4,000
	Lender (18%)	$3,000
	Grants Manager (26%)	$7,000
3.	Contractors and Consultants	$30,000
	AH Consulting	$10,000
	ZBK Partners	$5,000
	BKX Inc.	$15,000
	Sub-Recipient Grant Awards (4 Awards)	$100,000
	Sub-Recipient Loans (2 Loans)	$80,000
	Travel Expenses	$3,500
	Equipment and Supplies	$1,500
	Facilities	$1,000
4.	Administrative Costs	$10,000
	Direct Costs Sub-Total	$310,000
	Indirect Costs (30% approved indirect cost rate)	$75,000
	Indirect Costs Sub-Total	$75,000
Grant Fund Total		**$385,000**
	KPW Foundation	$600,000
	HYB Development Corp	$275,000
	PJX Foundation	$280,000
	Match/Leverage Sub-Total	$1,155,000
Match/Leverage		**$1,155,000**
Work Plan Budget Total		**$1,540,000**

b. Budget Narrative

Accompanying the detailed budget, the work plan should include a budget narrative broken up into three sections to summarize the direct, indirect, and match/leverage costs.

The direct costs budget narrative should describe the purpose for each cost item. For example, the narrative for the personnel salary should include a description of the position's tasks, the hours projected to be worked, and the hourly wage. Travel should indicate the trips to be taken and the methods of transportation that will be utilized. Overall, the direct costs budget narrative should clearly depict how and in what way the grant funds will be utilized to deliver direct capacity building services.

Also under the direct costs discussion, the budget narrative should address administrative costs by describing the positions and types of activities being funded with the direct allocation of grant funds. Individual employee names are not needed.

The budget narrative for indirect costs should identify the current indirect cost rate, date approved and expiration date, as well as the approval agency.

The budget narrative for match/leverage funds should describe each source of match/leverage contribution(s) and how it will be used to support the work plan tasks. When reviewing the work plan, HUD will reference the match/leverage contribution narrative to ensure that the performance outputs selected clearly demonstrate the combined impact of the grant funds and match/leverage funds, as opposed to just the grant funds. Match/leverage committed in the work plan budget should align with commitments outlined in Rating Factor 4 of the awarded application.

For Section 4 program grants, if the match source has not been finalized then the grantee should provide a projected match amount and the potential sources for the match contribution in the work plan.

7. *Amendment Tracking*

a. Amendment Tracker

Tracking work plan amendments can be complicated, especially if there are multiple amendments per work plan. Therefore, grantees are expected to include an amendment tracking chart on the last page of their work plan document that indicates the status of the current work plan and dates past versions of the work plan were submitted to HUD for approval. This will allow HUD and the grantee to maintain a clear and consistent picture of the work plan approval sequence. An illustration of the amendment tracking tool is depicted in Table 4.

Table 4: Work Plan Amendment Tracker		
Status	Work Plan Submitted to HUD	Work Plan Approved by HUD
Original	2/4/14	2/28/14
Amendment 1	7/8/14	7/14/14
Amendment 2	10/17/14	10/22/14
Amendment 3	2/6/15	

C. Adaptable Design

Section 4 and RCB grantees should strive to develop a work plan with an adaptable design. Having an adaptable design means that minor project/activity modifications can be made without additional HUD approval or formal amendment requests. The key to developing a work plan with an adaptable design is ensuring that the following factors are addressed:

1. Completeness

Grantees can achieve an adaptable design by submitting complete work plans. To achieve completeness, work plans should describe the project vision and plan of action with limited inclusion of components that are unresolved, unknown or likely to change. When the work plan has unresolved or unknown content, include a process for solidifying the element(s). For example, if the location(s) to be served has not yet been identified, describe the process and criteria for selecting the location(s) (reference *Section B.3*). Also when developing a work plan, HUD encourages grantees to think ahead and plan for modifications that may arise such as performance output changes, budget shortfalls/overruns, or time constraints, so that quick changes can be implemented if the project does not proceed as originally outlined.

2. Open Communication

Open communication is critical in the work plan scoping process and the identification of areas to be served, especially in cases where a Section 4 or RCB grantee has never worked in the identified service area(s). In such instances, the community/organizations served may have different needs from what the grantee initially planned to address or changing needs based on the circumstances at hand. Working in concert, HUD and the grantee can ensure that the work plan has the proper intervention mechanisms in place to meet the needs of the service area and align those needs with the expectations of the awarded application. Open communication will help to minimize approval delays and promote the development of complete and adaptable work plans.

D. **Achieving a Zero-Based Budget**

Section 4 and RCB grantees often use multiple work plans to implement program activities. Each work plan has a unique budget that includes the allocation of grant funds. To ensure that the entire grant award is fully expended, grantees should reconcile their work plan budgets and expenditures with their HUD Award. To accomplish this goal, HUD is directing all grantees to take a zero based budget approach, which ensures that all grant funds are obligated and expended within the grant term.

> **Zero-Based Budget**
>
> HUD Grant Award—Grant Expenditures = 0

Timeliness, tracking, and managing change are all critical factors to consider in achieving a zero based budget.

1. *Timeliness*

Grantees have four years to expend their grant award and to stay on track to meet this requirement HUD directs grantees to develop a funding strategy and engage in clock management.

   a. Funding Strategy

   A funding strategy is a plan detailing where and how grant funds will be allocated. It serves as the basis for developing the grant's work plans and establishes a purpose for every dollar. Creating a funding strategy early in the grant term will set a clear path thus ensuring timely implementation.

   b. Clock Management

   Football has four quarters and throughout a game, coaches and players work together to manage the clock. Based on the score and the time left in the game, a team will slow things down or speed things up in an attempt to win. Section 4 and RCB grantees have 4 years to implement their grant, so like a football team, grantees need to focus on clock management to ensure that their work plans are properly implemented to meet the four-year deadline.

2. *Tracking*

To ensure that work plans stay on schedule and achieve expected results, grantees should regularly track the work plan implementation progress.

a. Managing progress

Grantees need to track the implementation of their budget and performance targets from their approved work plans. Tracking entails reconciliation of the work plan expenditures and performance to confirm that they stay in line with the targets. Through regular tracking, grantees will stay appraised to the condition of their work plans and the progress made to date, so that they can make changes as needed.

b. Dealing with Budget Shortfalls or Surpluses

As work plan(s) are implemented, the budget may change as a result of several factors, such as costs overruns, increased price of goods or services, modified client or service area, and/or change in need. All these factors impact the work plan budget. Regular tracking of work plan implementation will isolate the need for budget modifications, so that grantees quickly identify the issues and proactively deal with budget shortfalls and surpluses.

3. *Managing Change*

Regular work plan tracking ensures timely identification of implementation issues, so that grantees can develop necessary changes to ensure that work plans remain on schedule and on budget. When an issue arises and a change is needed, grantees are directed to outline the issue, develop a plan of action to address the change, and as needed, seek HUD approval for the change

a. Outlining the Issue

Regular budget and expenditure tracking will illuminate the need for a change to the work plan(s). When a financial issue is discovered, grantees should summarize the issue and outline the resulting impacts. In the outline consider the impact on the work plan scope and performance in addition to the availability of grant funds across the work plan portfolio.

b. Developing a Plan of Action

Once a budget change has been outlined, the grantee should develop a plan of action to resolve the budget issue. For example, if additional funds are needed to complete a work plan, then the grantee should develop an explanation for why additional funds are needed and determine from where additional funds will be provided. For example, the source of additional funds may be unobligated grant funds, surplus grant funds from another approved work plan, or a new partner contribution.

Despite the reason for the budget modification, it is critical for the grantee to grasp and discuss how this change impacts their work plan portfolio and yet unobligated grant award funds (if applicable). Then a plan of action can be prepared and necessary documentation submitted for HUD approval.

c. HUD Approval

HUD will accept and review all budget modifications as they would a work plan submission. HUD expects any budget change to be detailed in narrative form and accompanied by applicable amendment and work plan documents.

i. **Work Plan Budget Tracking Tool**

With the exception of the FY15 grant awards grantees should provide the following information in tabular format for all new and amended work plan submissions:

- Submission Date
- Grant award amount and amount of grant funds allocated to approved work plans
- Grant Term Start Date and End Date
- List of active work plans
- Work plan submission type and approval date
- Current approved work plan budget
- Grant funds drawdown amount for each work plan with the date   the drawdown totals were last updated

The tabular submission will include all current and submitted work plans. For new work plans, the capacity building grantee should create a row in the table for the work plan indicating that it is original (i.e. new) and assign a submitted (i.e. submitted to HUD and under review) status. The grantee should also identify the proposed grant fund budget.

For approved work plans that are being modified, the grantee should update the work plan information in the table to identify the amendment version and display the status as submitted. The grantee will also indicate any proposed changes to the work plan budget.

Every time the table is submitted, whether for new work plans or modifications, the grantee will update the budget total across all work plans to demonstrate their progress toward full allocation of the grant award. The grantee will also update the drawdown totals for each work plan to show spending rate. Drawdown updates should reflect data that is no more than 30 days old.

For reference, a sample illustration of the tabular budget submittal for new and amended work plans has been included in **Attachment D – Work Plan Budget Tracking Tool**.

ATTACHMENT A – Work Plan Component Checklist

Work Plan Category		Work Plan Component	Description
Grant and Work Plan Overview (page XX)	☐	HUD Award #	HUD assigned number provided at the time of your grant award.
	☐	Award Period of Performance	HUD designated grant term (mm/dd/yyyy to mm/dd/yyyy)
	☐	Work Plan Name	Title assigned by grantee to describe work plan tasks and/or projected accomplishments.
	☐	Program Contact	Section 4 or RCB grant award contact, include physical address, phone number, and email.
	☐	Work Plan Contact	Individual responsible for work plan, include physical address, phone number, and email.
	☐	Grant Fund Total Budget	Total amount of Section 4/RCB grant funds budgeted for this specific work plan.
	☐	Total Work Plan Budget	Total of HUD grant funds and match/leverage committed to fund this work plan.
	☐	Work Plan Period of Performance	The start date (mm/yyyy) and end date (mm/yyyy) to commence and complete all work plan tasks.
	☐	Eligible Activity Category	Grantee should indicate which eligible activity/activities are being conducted. (Ex. "B: Development Assistance)
	☐	Work Plan Summary	Narrative summary of work plan tasks and projected accomplishments. Like an abstract or executive summary.
Document Need and Purpose	☐	Summary of Need	Summary of the community and/or beneficiary need. Should include qualitative and quantitative references and examples

(page XX)	☐	Capacity Building Strategy	Explanation of the capacity building service/technique to be used and why it was chosen.
Place and People to be Served (pages XX)	☐	Location of Activities	Identification of locations to be served or description of process for selecting locations.
	☐	Communities, Populations, and Organizations to be Served	Identification of communities, populations, or organizations to be served or description of process for selecting organizations/individuals.
Tasks and Implementation (pages XX)	☐	Tasks	List of work plan tasks with task description.
	☐	Responsible Organization	Identification of responsible organization for each task, such as grantee, consultant, contractor, and/or leverage/match partner.
	☐	Timeline	Identification of mm/yyyy time period for each task.
Evaluations (pages XX)	☐	Procedures and Tools for Evaluating Progress	Description of processes, methods, and tools used to track work plan activities and ensure that they reach projected accomplishments.
	☐	Performance Outputs and Outcomes	List of specific performance outputs, refer to **Performance Outputs Reporting Tool in Attachment B.**
Budget (pages XX)	☐	Detailed Budget	Detailed budget breakdown of grant funds (direct and indirect) and match/leverage line items.
	☐	Budget Narrative	Summary narrative describing budget line items for direct, indirect, and match/leverage cost categories.
Amendment Tracking (pages XX)	☐	Amendment Tracker	Inclusion of amendment tracking tool to outline submission and approval of different work plan amendments.

ATTACHMENT B – Performance Outputs Reporting Tool

General Outputs	
Output	**Definition**
# of individuals served	Count of individuals benefitting from capacity building services or financial assistance.
# of organizations served	Count of organizations served by capacity building services or financial assistance.
# of CDCs/CHDOs served (RCB consider RHDOs, Tribes, and Local Govt)	Count of organizations served by capacity building activity that are CDCs, CHDOs, RHDOs, Tribes, and/or Local Government.
# of states served	Count of states represented in a capacity building activity (either based on the organization or individual being served).
# of HUD Regions served	Count of HUD regions represented in a capacity building activity (either based on the organization or individual being served).

Training and Education	
Output	**Definition**
# of engagements/ trainings offered	Total count of training and education engagements offered, includes all delivery types.
# of web based engagements/trainings offered	Count of trainings and engagements delivered through web based methods.
# of in-person engagements/trainings	Count of trainings and engagements delivered through in-person methods.
# of individuals receiving financial assistance to attend training	Count of individuals who received financial assistance to attend the capacity building training and education.

$ of financial assistance provided to individuals to attend training	Total dollar amount of financial assistance provided to individuals to attend capacity building training and education.
# of participants earning or renewing a licensure or certification	Count of individuals attending capacity building training and education.
# peer to peer learning events	Count of engagements that are considered to be peer to peer learning (exchange) events.

Other Capacity Building Efforts	
Output	**Definition**
# of community development projects supported	Count of new/existing community development projects supported with capacity building services or financial investments. Examples of capacity building projects include commercial construction, park/green space development, and infrastructure work.
$ invested into community development projects	Total dollar amount of financial assistance provided to community development projects.
# of community programs supported	Count of new/existing community development programs supported with capacity building services or financial investments. Examples of capacity building programs include community health programs, community safety initiatives, and after school programs.
$ invested into community programs	Total dollar amount of financial assistance provided to community development programs.
# of new community partnerships developed	Count of new/existing community development partnerships supported with capacity building services or financial investments.
# of data portals/web	Count of new or significantly modified data portals (ex. HAC rural data portal) or web resources created (Ex. HAC community

resources created	mapping application).
# of data portal and web visits	Count of visits to new or significantly modified data portals and web resources, provides a measure of popularity and usage.
# of publications/ newsletters created	Count of unique publications/newsletters created and released containing capacity building knowledge or resources (includes both digital and print).

Direct Financial Assistance

Output	Definition
# of grants awarded	Count of capacity building grants awarded.
$ of grants awarded	Total dollar amount of grants awarded.
# of loans approved	Count of capacity building loans awarded.
$ of loans approved	Total dollar amount of loans awarded.
# of other financial assistance events	Count of other financial assistance events for capacity building, examples may include the purchase of supplies or equipment (unaware that this type of investment is currently being utilized by any grantee, but the NOFA provides reasonable flexibility to make other capacity building financial investments besides grants and loans).
$ invested in other financial events	Total dollar amount of assistance provided to other financial assistance events for capacity building.

Housing and Economic Development

Output	Definition
# of jobs created	Count of jobs created as a result of capacity building services or financial assistance.
# of jobs retained	Count of jobs retained as a result of capacity building services or financial assistance.
# of housing units in	Count of houses placed in the development process as a result of

the development process	capacity building services or financial assistance. Since, the grant performance period is only four years, work by the grantee may only have time to impact the front end housing development, so this output captures those units that will be fully constructed and occupied after the end of grant performance period.
# of new housing units created	Count of new housing units created as a result of capacity building services or financial assistance.
# of housing units sustained, repaired, or rehabbed	Count of housing units sustained, repaired, or rehabbed as a result of capacity building services or financial assistance. Serves as catchment for all construction work on existing housing units. Whether the units are sustained, repaired, and/or rehabbed will be ascertained from the activity description.
# of businesses assisted	Count of businesses assisted as a result of capacity building services or financial assistance.
# of businesses created	Count of businesses created as a result of capacity building services or financial assistance.

Policy Priorities	
Output	**Definition**
# of new CDCs or CHDOs created	Count of organizations who were assisted with capacity building that led to them becoming a CDC or CHDO.
# of Organizations newly accessing or expanding Federal funding	Count of organizations who were assisted with capacity building, which led to obtaining new or additional Federal funding.
$ of new or expanded Federal funding received	Dollars of Federal funding received by organizations that newly accessed or expanded their Federal funding after obtaining capacity building.

Attachment C – Direct Cost Examples and Definitions

Cost Item	Definition
Personnel (Compensation and Fringe)	Compensation for responsible grantee staff delivering capacity building services and their respective fringe benefit costs. Only includes charges applicable to the work plan and supported by the Federal Award (Section 4 or RCB) funds. *If more than one staff member/position, break down specific amounts per member/position.*
Contractor/ Consultant	Contractors and consultants competitively selected to assist with or directly deliver eligible capacity building services using Federal Award (Section 4 or RCB) funds. *If more than one entity, break down specific amounts per entity.*
Grants	Eligible Capacity building sub-grant awards provided to eligible organizations using Federal Award (Section 4 or RCB) funds.
Loans	Eligible Capacity building loans made to eligible organizations using Federal Award (Section 4 or RCB) funds.
Travel	Staff travels to deliver capacity building services supported by the Federal Award (Section 4 or RCB) funds.
Equipment/ Supplies	Equipment and/or supplies purchased to deliver capacity building services supported by the Federal Award (Section 4 or RCB) funds. *If equipment or supplies is shared with other projects or activities, scale the budget based on expected usage.*
Facilities	Facilities supported, leased, or rented to deliver capacity building services supported by the Federal Award (Section 4 or RCB) funds. *If facilities are shared with other projects or activities, scale the budget based on expected usage.*

Attachment D – Work Plan Budget Tracking Tool

Capacity Building Grant Work Plan Summary Table		Date Submitted	4/26/2015
HUD Award # - CB-14-XX-0001 Grant Fund Award - $800,000 Grant Funds Budgeted to Approved Work Plans - $740,000 Grant Term Start Date - 9/30/14 Grant Term End Date - 9/29/18		Drawdown Totals Last Updated	3/31/2015

Work Plan Name	Original/Amend Approval Date	Approved Grant Fund Budget	New/ Modified Grant Fund Budget	Grant Funds Drawdown
Small Business Loan Fund	Original 1/1/2014	$200,000	$200,000	$100,000
Strategic Planning – Direct TA	Amend 1 4/1/2014	$75,000	$75,000	$30,000
Community Safety Grants	Original 4/1/2014	$60,000	$60,000	$60,000
Technology Upgrade Grants	Amend 2 Submitted	$350,000	$400,000	$250,000
Green Building Peer to Peer Exchange	Amend 1 Submitted	$55,000	$40,000	$10,000
USDA Federal Funding Sources Webinar	Original Submitted		$25,000	
TOTALS		**$740,000**	**$800,000**	**$450,000**