U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, DC 20410-7000

GUIDE TO PREPARE PERFORMANCE REPORTS FOR THE COMMUNITY COMPASS TECHNICAL ASSISTANCE AND CAPACITY BUILDING PROGRAMS (CFDA NUMBER 14.259)

CONTENTS

Revision History

Table 1. Revision History

Revision Number	Revision Date	Summary of Changes	Author(s)
0	8/10/2021	Initial Performance Report Guide	Christine Brown David Larimer
1	2/10/2021	Generally clarifies needs for award, work plan, and task level narratives, as well as report need when no activity has occurred. Updated page references in Appendix I.	Christine Brown

Approvals

This document requires the following approvals:

Table 2. Approvals

Name	Title
Stephanie Stone	Director, CPD's Technical Assistance Division

OVERVIEW

The Department of Housing and Urban Development (HUD) views this Guide to Prepare Performance Reports as a template to assist award recipients ("Recipients") with organizing and preparing performance reports for efforts supported by HUD funding awarded for the Community Compass Technical Assistance and Capacity Building Program, which includes all funding sources associated with CFDA number 14.259 (collectively referred to as the "TA Program"). This Guide specifically discusses timelines and methods of delivery; content and organization; and information dissemination.

HUD supports technical assistance (TA) efforts that develop and provide resources, tools, and support to Recipients of HUD funding -- state and local government grantees, public housing authorities, tribes and Continuums of Care, and nonprofit organizations – through the TA Program. The efforts build capacity and offer innovative strategies for cross-program efforts. Performance reports document whether and how well the purpose is being fulfilled, and reports provide an opportunity to correct any issues.

Performance Reports – submitted quarterly and at the end of an award (e.g., Final Report) – are tools for Recipients to document and communicate expected scope compared to results of awards and work plans, including findings, outcomes, activities, methods, lessons learned, and products of significance to the fields of housing, community development, and community development and housing strategies. This also shows HUD that the Recipient has systematically tracked implementation by highlighting the quantity, quality, and timeliness of work plan objectives, outputs, and outcomes.

HUD encourages Recipients to use Performance Reports as a tool to provide HUD with an understanding of successes and innovations of TA work – from inception to completion – as well as difficulties and challenges faced while giving an outlook for the future. The success of an award is not solely measured by whether the award and TA work achieved anticipated outcomes, but also on the lessons learned through TA work and how well they are articulated, to inform future activity. Further, Reports are a tool for maximizing the use of reported results.

Reports are also an opportunity for HUD to offer input, assistance, and oversight on the technical assistance activities and awards. Performance Reports may inform HUD's decisions to continue with the existing award and/or future funding decisions.

AUTHORITIES

This Guide operationalizes the following authorities, which provide the context for this Guide and represent the authorities acknowledged with the signed cooperative agreements for the TA Program.

- 2 CFR 200.327 (1/1/2014 version) and 2 CFR 200.328 (8/13/2021 version), Financial reporting
- 2 CFR 200.328 (1/1/2014 version) and 2 CFR 200.329 (8/13/2021 version), Monitoring and reporting program performance
- TA Program Cooperative Agreement Provisions, sections:
    - o Monitoring and Reporting Requirements (2020-2021, 2018-2019)
    - o Financial and Program Performance Reports (2017, 2016, 2015, 2014)
    - o Reports (2008-2013)
- Data elements for OMB approval number 2506-0165 and OMB approval number 2506-0197
- Section VI.C.3 of the TA Program Notices of Funding Availability (NOFAs)

REFERENCES
- DRGR User Manual

APPLICABILITY

This Guide applies to Recipients of any funds awarded under the TA Program, as well as any discretionary funds managed by HUD's Technical Assistance Division, which is within the Office of Community Planning and Development.   Use of this Guide begins with the Performance Reports due October 30, 2021. This Guide replaces previously issued performance guidance.

GENERAL GUIDANCE FOR PERFORMANCE REPORT

Recipients are required to complete and submit Performance Reports to HUD using the template available within HUD's Disaster Recovery Grant Reporting System (DRGR). The DRGR Performance Report template includes the following components. The Performance Report Content of this Guide expands on these components.

1. Financial performance. In general, HUD is looking for a description of actual expenditures along with the SF 425 (Federal Financial Report) data elements.

2. Narrative on performance related to the implementation of TA, for the overall award and each work plan.

    a. Overall progress and significant developments for the award/all work plans and activities/tasks active for a 3-month period, using the Federal fiscal year calendar.

    b. Significant developments on work plans and activities/tasks.

3. Resolution or remediation comments for potential compliance issues as flagged in DRGR.

4. Optional attachments to support the Report. Attachments must not be used to capture the reporting requirements; the fields in DRGR must be used to capture reporting requirements.

For Recipients that systematically track work plan implementation, starting at the point of work plan approval, completion of the DRGR Performance Report will not be a challenge. Tracking performance includes the evaluation of quantity, quality, and timeliness of work plan objectives and outputs and outcomes, and general management and administration. Appendix IV of this Guide include a resource to help Recipients track work plan progress, to support proper report of performance in DRGR.

While writing descriptions for Performance Reports, Recipients should ensure that the descriptions contribute to an understanding of the progress made on work plans, significant accomplishments, difficulties and challenges faced, and lessons learned, while giving an outlook for the future. Within DRGR, compliance issues are flagged for Recipients to address with the Performance Report submissions. HUD will review the information with the Report submissions.

Tip: Recipients are strongly encouraged to complete the DRGR Performance Report template throughout the quarter; it is not recommended that Recipients wait until the end of the quarter to fill out the Report template in DRGR. This may be a valuable practice, especially for awards and work plans where HUD may benefit from more frequent updates on progress, to help shape work as it is occurring. Regular inputs can benefit Recipients, as regular updates alert HUD of any issues and successes and can streamline completing the Report after the quarter end. Throughout the quarter, inputs in the Performance Report will also indicate to HUD that the Recipient may initiate a meeting to discuss the development, potential barriers, or need. HUD can view any data saved in the Performance Report in DRGR.

A. Timely Performance Report

This section includes the timeline for submitting Performance Reports to HUD in DRGR. Recipients must submit Reports to HUD using DRGR. Failure to submit Reports in DRGR and within the required timeframe may be considered a material weakness in award management and may result in corrective action.

1. Quarterly Performance Reports. Performance Reports are due to HUD no later than 30 days after the end of each quarter, based on the Federal fiscal year. The due dates for each Reporting Period are listed below and in the cooperative agreements.

2. Final Performance Reports. For any award made *prior to* the 8/13/2021 revisions to 2 CFR, a final Performance Report is due no later than 90 days after the award ends or after funds are expended, whichever is first. For any award made *after* the 8/13/2021 revisions to 2 CFR, a final Performance Report is due no later than 120 days after the award ends or after funds are expended, whichever is first. The final Performance Report takes the place of the quarterly Performance Report at the end of the final year of the award. For example, an award funded for three years will have 11 quarterly Performance Reports and one final Performance Report.

3. Reporting Periods and Due Dates. The following Federal fiscal year quarter periods must guide the timing of each quarterly and final Performance Report.

Table 3. Reporting Periods and Due Dates

Reporting Period	Due Date of Report
Quarter 1: 10/1 – 12/31	January 30
Quarter 2: 1/1 – 3/31	April 30
Quarter 3: 4/1 – 6/30	July 30
Quarter 4: 7/1 – 9/30	October 30
Final: varied	During the quarter that represents 90 days or 120 days from award end

B. Performance Report Submission

OMB requirements of the Federal Financial Report (SF 425) requires submission of the data by a certifying official. Since the SF 425 is apart of the Performance Report in DRGR, a certifying official must review and submit the Performance Report, although other persons may enter and save data in DRGR.. The role of a certifying official may be temporary and specific to an award. The certifying official may be different from the Recipient's authorized representative. The Recipient determines who certifies the Performance Report, and determination should be in writing and kept with the award file.

C. Performance Report Style

Performance Reports should be written for all audiences and must consider HUD implementation plan related to the Federal requirement on plain language. See https://www.hud.gov/program_offices/spm/plain_language for guidance and assistance.

D. Performance Report Format

Use the Performance Report Content section (below) to help organize the Performance Reports by work plan and by task. This helps with comparing the approved work plan with actuals reported through the Performance Report. HUD has operationalized this format within the DRGR Performance Report template. Reference Appendix I for additional DRGR content structure and formatting.

Recognizing that there may be reasonable variations depending on the TA work plan types and funding sources for an award, HUD Government Technical Representatives (GTRs) and Government Technical Monitors (GTMs) should provide Recipients with direction, as needed, on content and format of Performance Reports.

PERFORMANCE REPORT CONTENT

2 CFR 200.328(2) (1/1/2014 version) and 2 CFR 200.329(2) (8/13/2021 version) include the minimum content requirements for performance reporting. Based on how HUD has operationalized these 2 CFR provisions, below is a description of the content for each section required by quarterly and final Performance Reports. Recipients should direct any questions they may have about Report content to their assigned HUD GTRs or communitycompass@hud.gov. Recipients should ensure that submitted Reports follow internal organizational policies and procedures.

Again, the Performance Report includes the components noted in the General Guidance section of this Guide: financial performance, including the SF 425; performance related to the implementation of TA, for the overall award and for each work plan, including activity progress and significant accomplishments; resolution or remediation of potential compliance issues in DRGR; and supporting documents.

Additional resource: Appendix V of this Guide might assist with organizing content for reporting based on the elements in this Guide. Then, Appendix I and Appendix II illustrate the merger of the elements in this Guide with the DRGR data fields, to help support submission of Reports in DRGR.

A. Financial Progress: Federal Financial Reports

The first component of the Performance Report and the DRGR Report template is for the Recipient to report financial progress. This component includes the SF 425 data elements. This component is required by 2 CFR 200.327 (1/1/2014 version) and 2 CFR 200.328 (8/13/2021 version). HUD requires submission of the data elements once per quarter (see Table 3. Reporting Periods and Due Dates), unless otherwise communicated in writing from HUD's Cooperative Agreement Officers (e.g., HUD Officials on cooperative agreements) or HUD's TA Division via communitycompass@hud.gov. Recipients should confirm that the submission timeline for the financial portion of the Report or the SF 425 is consistent with the timeline for the rest of the Performance Report. Reference Table 3 of this Guide.

Additional resources: reference the Performance section of the DRGR User Manual for additional guidance on completing the SF 425 fields in DRGR.

B. Award and Work Plan Progress: Overall Summary/Narrative

An overall summary or narrative should summarize the purpose and scope for the overall award, as well as each work plan, including: target population; progress toward milestones; explanation of cost overruns; important overall findings, themes, and lessons learned; program and policy implications; and recommendations, if any. Highlighting actions and events provides HUD with a preview of what to expect in the rest of the Reporting Period, as well as what may be upcoming in the next 30-90 days. Specifically, Recipients should highlight activities that may require or benefit from HUD's involvement, such as meetings, events, or presentations that HUD staff can attend.

The DRGR Performance Report template includes separate narrative fields to capture summary information at the award level and each work plan. Since work plans are approved for specific tasks and outputs and the work plan is budgeted at the task level, HUD expects progress to actually to be reported at the work plan task level. Work plan progress not specific to any specific task should be reported at the work plan level/narrative field in DRGR. And award progress not specific to any particular work plan should be reported at the overall award level/narrative field in DRGR.

If there is minimal activity under an award, work plan, or work plan task in a given quarter, the narrative length should be commensurate. If activity was planned or expected but not carried out, the Recipient should state such and must explain the factors contributing to the lack of progress.

Feedback from HUD should be addressed in the Report. Recipients should detail what has been done to address HUD's feedback, including the following questions:

- What has your organization changed in response to the feedback?
- Were you able to address any suggestions?
- What – if any – additional measures are you taking?

Tip: Use quarterly meetings with the GTRs and GTMs to discuss HUD feedback. And use DRGR Data Analytics report *A33 – QPR Review Comment* to view Performance Report comments from HUD. This is a best practice for both rejected and approved reports to ensure consumption of HUD's performance feedback.

Additional resource: Reference the Performance Report sections of the DRGR User Manual, for additional guidance on completing the fields in DRGR.

C. Work Plan Progress: Activities and Accomplishments/Significant Developments
The narratives related to activities and accomplishments, including significant developments, serve as the core of the Performance Report. There are two levels of narrative to report work plan progress: task narrative, as work is budgeted and outputs are defined at the task level; and work plan narrative to capture progress not specific to any particular task. Outlined below are the areas to be covered for Quarterly Performance Reports as well as for Final Performance Reports, based on how HUD has operationalized 2 CFR 200.328(2) (1/1/2014 version) and 2 CFR 200.329(2) (8/13/2021 version). For each of these Reports, Recipients are asked to respond to a series of questions that help guide the completion of the Report. Recipients should organize the question answers by task outputs and related organizations assisted.

Quarterly Report Content
1. What was accomplished during this reporting period, and how did these accomplishments help reach the stated tasks, outputs, outcomes, and products in the work plan? Note any supporting TA Providers and significant partners and their role in the TA work.

2. What results have been achieved? What observations have the Recipient made about the organizations assisted and their improved capacity? Are there sustainability issues?

3. What, if any, challenges or barriers presented during this reporting period, and what actions did the Recipient take to address these challenges or barriers? Note changes, if any, to the work plan tasks, outputs, goals/objectives, or task activities that were made as a result of the challenges faced.

   Examples of barriers/challenges to report:
   - Staff challenges (e.g., delays in hiring, delays in training, turnover)
   - Differing perspectives between your staff and the HUD grantee staff
   - Difficulties getting buy-in from HUD grantee staff and its leadership
   - Difficulty balancing efficiency in TA delivery and inclusion
   - Funding challenges

- Inadequate pool of qualified people to complete TA work
- Inadequate time for your staff or partnering staff to devote to the TA work
- Insufficient/inadequate training/technical assistance provided directly by your staff or partnering staff
- Lack of collaboration between HUD grantee and its stakeholders
- Limited cultural competencies
- Limited time to implement TA work plan outcomes
- Major external community events like weather disasters
- No capacity for monitoring objectives and goals
- No capacity for leveraging of funds or in-kind donations (Distressed Cities TA only)
- No coordination of funds
- No leadership or political commitment to the issue

4. What products have been developed/finished (including intended use, audience, and storage/location)?

5. What progress has been made regarding HUD's defined measures?

6. How have the activities conducted during this report period help to achieve the measurable outcomes identified in the approved work plan?

7. What was produced during the reporting period, and how have these products been disseminated? Products may include articles, issue briefs, fact sheets, newsletters, survey instruments, sponsored conferences and workshops, websites, audiovisuals, and other informational resources.

8. What was the completion status of each task? Please also report on progress towards achieving milestones.

9. What actions and events are expected in the next reporting period?

10. How has HUD feedback been addressed, as it relates to the implementation of the award, work plan, and tasks/activities, and details of previous reports?

11. Have key award and work plan documents and emails been attached as documents?

Final Report Content

1. What measurable outcomes were established for the work plans and activities, and what indicators were used to measure performance? To what extent did the work plans achieve the outcomes?

2. What, if any, challenges did the Recipient face during the award period, and what actions did the recipient take to address these challenges?

3. What impacts have the work plans had to date?

4. What are the lessons learned from undertaking the work plans?

5. What will happen to the work after this award has ended? Will activities be sustained? Will activities be replicated? If the activities will be sustained or replicated, what other funding

sources will allow this to occur? Note significant partners in the award and if/how the recipient will continue to work on activities.

6. Over the entire award period, what were the key publications and communication activities? How were they disseminated or communicated? Products and communication activities may include articles, issue briefs, fact sheets, newsletters, survey instruments, sponsored conferences and workshops, websites, audiovisuals, and other informational resources.

D. DRGR Compliance Flags

Throughout the quarter, each Recipient must manage active flags – DRGR alerts of potential compliance issues – and resolve or acknowledge them prior to submitting a Performance Report for HUD's Review in DRGR.

Additional resource: DRGR flags can be viewed using a few options: 1) under the Compliance module of DRGR which includes an additional link to flag guidance; 2) under the Review Tools page of the Manage My Grants module; and 3) in Reports module of DRGR, under the Global Compliance folder of the Data Analytics projects of MicroStrategy (report numbers C12, C13, and C14 may be helpful).

E. Attachments/Documents

Include any key documents related to work plan management, such as emails from HUD (re)directing work approved in the work plan, training plans, or other TA timeframes/rollout agreements with HUD. If a file is too large to attach in DRGR, indicate the document name and its purpose in the work plan narrative. Attachments must support the Report and must not replace any requirement to complete the DRGR fields. Any DRGR narrative fields that simply reference "see attachment" will be considered incomplete and rejected by HUD. Also, the Performance Report is *not* the mechanism for providing work plan deliverables.

PERFORMANCE REPORT FOLLOW-UP

A. HUD Review and Evaluation of the Performance Report

Upon receipt of each Performance Report, both the HUD GTR and GTM will review concurrently and collectively communicate performance feedback and corrective actions to the Recipient. Both HUD GTMs and GTRs are required to complete a review of each Performance Report, within 45 days following the Performance Report due date. The Review is completed within DRGR and assesses the Recipient's compliance with cooperative agreement and the information in this Guide, and will evaluate quality of TA delivered, timeliness, general cost control, and general management and administration. The Review will include any follow-up recommendations, corrective actions, and designates each Report as either acceptable or unacceptable. The HUD GTR and GTM will then work with the Recipient on any approved corrective action.

Tip: Use DRGR Data Analytics report *A33 – QPR Review Comment* to view Performance Report comments from HUD. This is a best practice for both rejected and approved reports to ensure consumption of HUD's performance feedback.

B. Standing Quarterly Meetings and Additional Meetings

Discussions between HUD and the Recipient on HUD's review of the Report will occur at least quarterly, during regularly scheduled quarterly meetings. Discussions may also happen more frequently if needed. Feedback should be discussed with the Recipient during regularly scheduled quarterly meetings. All GTRs are expected to initiate these standing meetings. Consider more frequent meetings, as necessary to discuss and track corrective actions. Here are some considerations for regular meetings and communications for Performance Review:

1. Consider how frequently to convene Performance Report Review meetings and who should be included? Take notes during the meetings.
2. Set an agenda with the GTRs and GTMs.
3. Plan to find and work through root causes of issues.

Tip: GTRs and GTMs should be thoughtful about the need for additional meetings, and nail down the purpose of meetings, in the context of the cooperative agreement requirements regarding HUD's substantial involvement, and the performance feedback and technical assistance that may be needed to support the outcomes of TA work. For additional guidance on when more frequent meetings may be needed, reference the *Program and Provider Coordination* resource within the Appendix III of this Guide.

C. Official File.

Performance Reports and HUD's review comments become apart of the official award file and may inform additional monitoring reviews and future funding decisions, and may be shared with the public, Congress, OMB or other Federal agencies, HUD grantees receiving TA, and HUD staff and managers.

Additional resource: Reference the Performance Report sections of the DRGR User Manual, for additional guidance on completing the fields in DRGR.

APPENDIX I – DRGR FORMATTED PERFORMANCE REPORTS

This appendix merges the report content guidance within this Guide with the DRGR Report template data components.

Table 4. DRGR Performance Report Template with Report Content

Report Requirements	Formatted/Operationalized in DRGR						
Report Component	Report Sections	How to use the Section?	Input	Input/ Use optional	Data Summary	Quarterly Report	Final Report
Financial	Financials	Summary of DRGR approved work plans by project and completed expenditures			X		
Financial	Details (includes the SF-425)	This captures data using the OMB approved data elements for the SF-425	X		X		
Performance-Award	Narrative	Capture your response to guidance and questions on pages 7-8 of this Guide.	X			2,3,9,10	2,3,4,5
Performance-Award	Documents	Capture your response to guidance and questions on pages 7-8 of this Guide.		X		11	
Performance-Award	Measures	Summary of HUD defined outputs			X		
Performance-Activities	Activities (Work Plans)	Capture your response to guidance and questions on pages 7-8 of this Guide.	See below			All questions See break out below.	See break out below.
Performance-Activities	Financials		X		X		
Performance-Activities	Narratives (Work Plan and Task)		X			1,3,4,5,7, 8,9,10	6
Performance-Activities	Documents			X		11	
Performance-Activities	Measures		X			5	
Performance-Activities	Outcomes		X			2,6	1

APPENDIX II – DRGR PERFORMANCE REPORT WITH PERFORMANCE GUIDANCE OVERLAY

Use the "DRGR Performance Report with Performance Report Requirements" resource to help marry the DRGR fields on the performance report with the guidance in this Guide. This resource is available online at https://www.hud.gov/program_offices/comm_planning/cpdta/guidance/, and in the Performance Report section of HUD's Community Compass Technical Assistance Resources SharePoint site at https://hudgov.sharepoint.com/sites/OGrp-CommunityCompassTAResources/.

DRGR Performance Report Sample with Performance Report Business Guide/Requirements Overlay

This sample performance report shows the financial & narrative input/input optional screens with content and overlays the requirements and performance report questions found in the Performance Reporting Guide. This should be used as an example only. TA Providers are required to submit the necessary volume and detail as needed to support the progress of the quarter for each award, work plan, and task. In some cases, minimal or no reporting may occur, while on other awards, the volume and detail may greatly exceed the example.

The performance report is organized in two parts:

- Award-Level Performance Report
- Work Plan Level Performance Report

The sample below follows the flow of inputs in DRGR starting with award-level financial reporting (SF-425), then award-level narrative, then work plan and task narrative inputs.

APPENDIX III – PROVIDER-PROGRAM COORDINATION ON TA

Use this resource to help decide when additional meetings and technical assistance is needed, beyond standing quarterly performance meetings. This resource is also available within the Performance Report section of HUD's Community Compass Technical Assistance Resources SharePoint site at https://hudgov.sharepoint.com/sites/OGrp-CommunityCompassTAResources/.

Table 5: Provider Program Coordination

	IF, →	THEN.
A	The **Recipient** seeks assistance with workplan or activity design or development,	The **Recipient** should initiate and host intermittent or regular meetings with the Program Office.
B	The **Recipient** seeks assistance with troubleshooting obstacles or seeks guidance on prioritization or direction of a	The **Recipient** should initiate and host intermittent or regular meetings with the Program Office.
C	The **Recipient** seeks to keep the Program Office informed of workplan progress without initiating a meeting,	The **Recipient** should regularly update DRGR throughout the quarter and *SAVE* the updates for Program Office review. Each quarter the Provider must *SUBMIT* a performance report.
	IF, , →	THEN.
D	The **Program Office** seeks to offer input on the structure and content of a	The **Program Office** should initiate engagement with the Provider to collaborate.
E	The **Program Office** seeks to support workplan delivery by providing information or materials to the Provider,	The **Program Office** should initiate engagement with the Provider to share information or materials.
F	The **Program Office** seeks a unique update from the Provider regarding the progress of a workplan outside the quarterly reporting cycle, to ensure alignment with Program Office activity, and the Provider has not entered information into DRGR,	The **Program Office** may engage the Provider to determine workplan status and progress.[1]
G	The **Program Office** seeks regular updates from the Provider regarding the progress of a workplan outside the quarterly reporting cycle, and the Provider does not regularly update DRGR,	The **Program Office** should request TAD assess the circumstances for adoption of a specific reporting requirement. If TAD determines a specific condition is justified, TAD will notify the Provider and establish appropriate requirements.[2]

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[1] TAD has defined substantial involvement to include "monitoring progress of the project." A unique progress check to ensure coordination of the workplan with other HUD activities is considered a component of substantial involvement that is separate and distinct from quarterly and final reporting of progress performance and accomplishments.

[2] HUD may issue specific reporting conditions when an analysis of risk shows that the recipient may not timely deliver the agreed upon products and services (2 CFR 200.206) or upon determination that timely performance is critical to achieving technical assistance program outcomes (2 CFR 200.329).

APPENDIX IV – WORK PLAN PROGRESS TRACKING TIPS

Use the tips in this resource to help guide tracking of work plan progress. This should help support performance reporting that is compliant with the guidance in this Guide. This resource is also available within the Performance Report section of HUD's Community Compass Technical Assistance Resources SharePoint site at https://hudgov.sharepoint.com/sites/OGrp-CommunityCompassTAResources/.

☑ *Quick Reference*

These steps will help you develop a work plan tracking plan that clearly demonstrates how you are implementing and tracking your work plan. If you were managing your work plan properly in the past, this information is not new. If you were loosely tracking implementation and progress of work plans, outcomes, outputs and deliverables, this may help you right-size the issue.

1. **UNDERSTAND EXPECTATIONS**.
   Review the performance guide. And work with your HUD Government Technical Representative, Government Technical Monitor, and Program Office Technical Assistance Coordinator, to determine what information will best meet both HUD expectations and your plan to implement the technical assistance assignment.

2. **PREPARE YOUR WORK PLAN TRACKING PLAN.**
   In your work plan tracking plan, explain your tasks and overall objectives and expected results. Describe how you will collect and maintain data that support your actual work, how you will analyze the information, and how you will integrate what you learn into improving the work plan. When developing your work plan tracking plan, use the HUD standard measures and outcomes to track success. Be thoughtful about how you plan to implement outputs. If the TA assignment prescribes a due date, plan with that end in mind.

3. **LET HUD REVIEW.**
   Submit your work plan tracking plan with your work plan, if possible. HUD will review this information at the time of work plan review. If the plan cannot be developed and submitted with the initial work plan submit, then added to the work plan, whenever it is available. Although submission of the tracking plan to HUD is not required, the plan includes useful information for HUD to help steer your performance and management of your work plan.

4. **GET YOUR TEAM INVOLVED.**
   You will need skilled staff to develop and manage the tracking of your work plan. This may be the work plan lead; or this may be another key person on the work plan. You also need to make your entire work plan team aware of how you are tracking work plan performance, so they know how to help track results. It is important to make progress tracking a priority, to demonstrate successful management of the TA assignment and work plan. Poor work plan management may impact future HUD funding.

5. **TRACK THE WORK PLAN AND TASK OBJECTIVES, MEASURES, OUTCOMES, AND OUTPUTS**.
   Focus on the information that needs to be collected to track progress toward your work plan's objectives related to the capacity issues and needs in the TA assignment that should be addressed by the work plan. Also, track your progress against the HUD standard measures and outcomes and the approved outputs in the work plan.
   - Short term – think about the immediate benefits of your work plan.
   - Long term – track long-term changes that results from your work, if possible. This may help with your final performance report required for closing the award.

6. **PROVE IT.**
   Use two types of data to inform and track work plan activities for performance reporting.
   - Quantitative data. Information presented as numbers to show amounts, such as number of training participation or number of organizations benefitting.
   - Qualitative data. Include information presented as words and graphics to convey contextual details about selected approaches, as well as feedback such as grantee feedback and your staff insights about activities.

7. **ASSESS YOUR PROGRESS.**
   Use the information in your work plan tracking plan to review what is working well and what you need to adjust. Ask:

   - Are the activities progressing as planned and as timed?
   - What data do you have to show that things are progressing?
   - If things are not progressing, are there work plan design issues that need to be addressed? Are there practical or political factors to consider?
   - How should the issues be addressed and who is going to implement and track?
   - Are the appropriate staff still available to complete the work?
   - Is the budget still sufficient based on the changes in design?
   - How is feedback from HUD or your team or the grantee being used and shared? Should anything be done to adjust the work plan design?

   As you adapt your approach to the work plan, review the TA assignment needs and capacity gaps to ensure the approaches continue to be effective. Also review feedback provided through HUD surveys.

8. **ADAPT.**
   As you answer the questions above, review HUD surveys results for trainings and TA you deliver, and meet with your team and HUD to reflect on how work is going, incorporate that feedback into the work plan and work plan tracking plan.

   Contact your HUD Government Technical Representative, Government Technical Monitor, and Program Office Technical Assistance Coordinator; or contact communitycompass@hud.gov.

APPENDIX V – PERFORMANCE REPORT CONTENT TEMPLATE

Use Performance Report Content template to help organize the information about work plan progress and results. This template includes the elements provided within this Guide, and may help Recipients align work plan progress with the performance reporting elements in this Guide.

HUD's COMMUNITY COMPASS TECHNICAL ASSISTANCE PROGRAM
PROGRESS REPORT TEMPLATE FOR TA PROVIDERS

HUD requires recipients of TA Program awards to submit performance reports for all HUD-funded awards. Use this template to organize the information about your progress and results. This template mirrors information entered into DRGR, so you can quickly transfer information from here to your Performance Report in DRGR. Your HUD GTR or GTM will provide guidance on any additional documents you should submit.

FINANCIAL REPORT

SF-425

In this section, provide the amounts from your financial management system for cash receipts, cash disbursements, or cash on hand. This should consider: HUD only wants to know about funds received through a draw in DRGR and if those funds have been disbursed. Compare your

Cash Receipts

Cash Disbursements

Cash On-Hand

SF-425 COMMENTS

In this section, provide a summary description of your budget activities for the reporting period (or the entire award if report is a final submission). Include a reason for any adjustments to cash receipts, cash disbursements, or cash on hand, where your financial system does not match

OVERALL PERFORMANCE REPORT - AWARD LEVEL

ACTIVITY OVERVIEW

In this section, provide a summary description of all activities and the main purpose(s) and objective(s) of your award. This may be standardized, but should highlight changes in activities

EACH WORK PLAN [EXAMPLE WORK PLAN #1]

Within each work plan, you can also organize the description by task or activity on the work plan.

ACTIVITY OVERVIEW

In this section, provide a summary description of your work plan activity as whole, results to-date, and its main objective(s), output(s), measure(s), and milestone(s). Are any HUD-approved changes in the scope of your work properly documented?

TASK 1 -- TASK ONE NAME (OPTIONAL)

TASK 2 -- TASK TWO NAME (OPTIONAL)

EACH WORK PLAN [EXAMPLE WORK PLAN #2]

Within each work plan, you can also organize the description by task or activity on the work plan.

ACTIVITY OVERVIEW

In this section, provide a summary description of your activity and its main objective(s). Are any HUD-approved changes in the scope of your work properly documented?

TASK 1 -- TASK ONE NAME

TASK 2 -- TASK ONE NAME