



U. S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

CAPITAL FUND GRANTS CYCLE OVERVIEW

(PLANNING, SUBMISSIONS, AWARDS AND EPIC)

JANUARY 2021

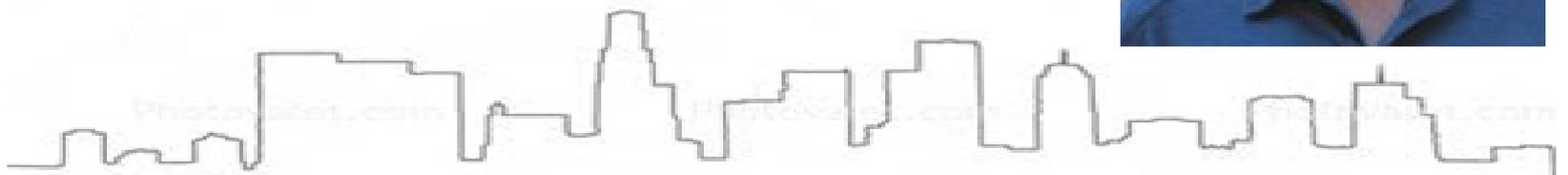


PLANNING PRESENTERS

- Emily Haeckel, Management Information Specialist, Office of Capital Improvements



- Robert Dalzell, Supervisory Team Lead, Office of Capital Improvements

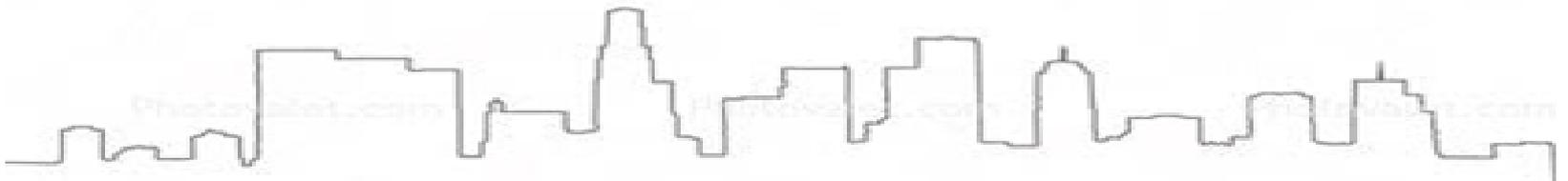




AGENDA



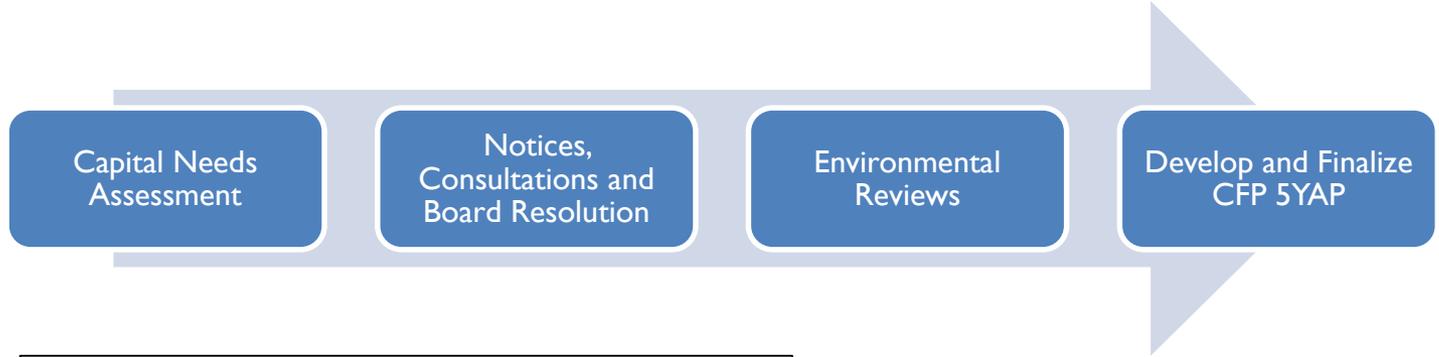
- Capital Fund Grant Award Process
- Capital Fund Grant Planning Summary
- Capital Needs Assessments Updates
- Creating a CFP Five-Year Plan
- Creating and Revising an Annual Budget
- Creating and Submitting Performance and Evaluation Reports
- Grant Close-Out
- Grant Lifecycle Summary Review



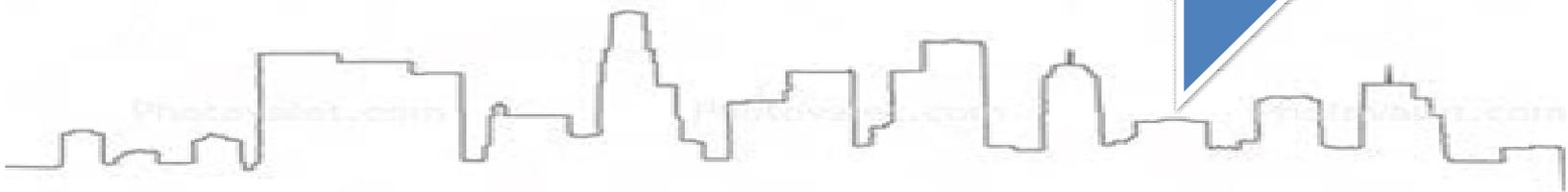
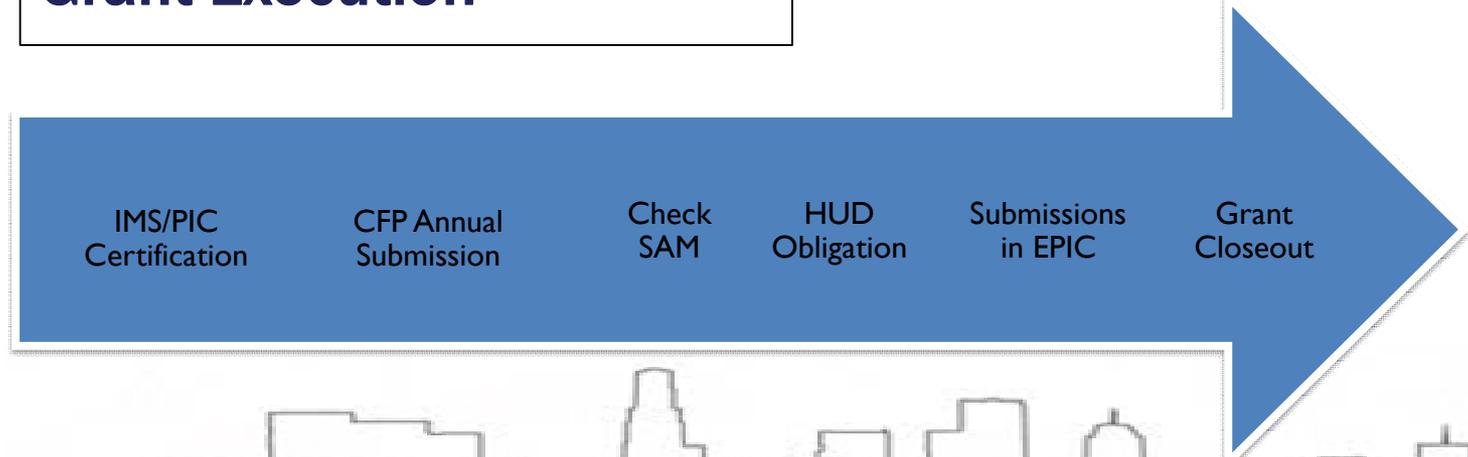


CFP GRANT LIFECYCLE

Capital Planning



Grant Execution

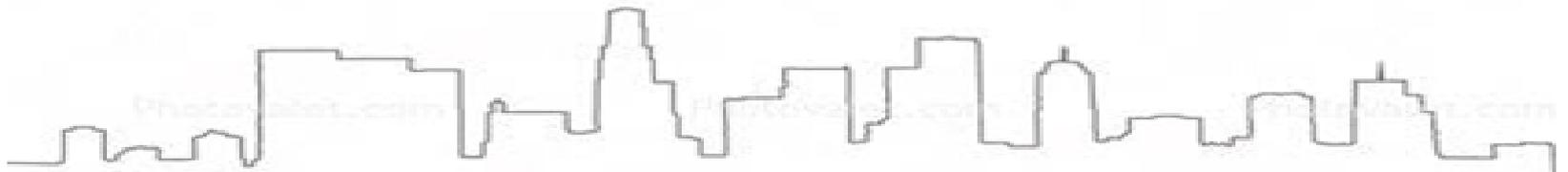




CAPITAL FUND GRANT PLANNING PROCESS



✓	Key Components
✓	Needs Assessment (e.g. PNA or CNA) and Energy Audit
✓	Draft 5 Year Action Plan
✓	45 Day Notice
✓	Public Hearing and RAB Consultation
✓	Board Resolution Approving 5-year Action Plan
✓	Environmental Review(s) as applicable



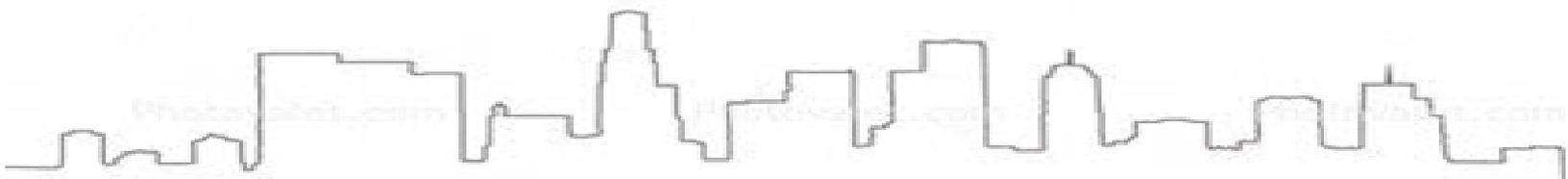


CAPITAL NEEDS ASSESSMENTS



- While a PNA is not required, PHAs should still analyze capital needs annually. Consider what work is needed to bring each AMP up to applicable modernization and energy conservation standards by:
 - Conducting or procuring a CNA/PNA every 5-10 years
 - Conducting or procuring energy audits

- This information will feed into the development of the 5-Year Action Plan and other Annual CFP submission documents to HUD.



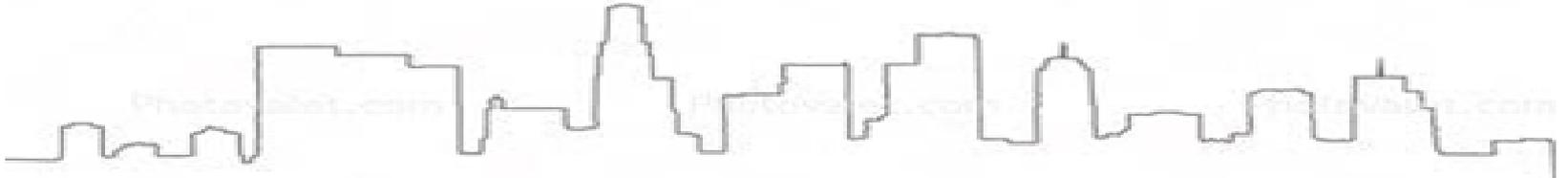


CAPITAL FUND AWARD



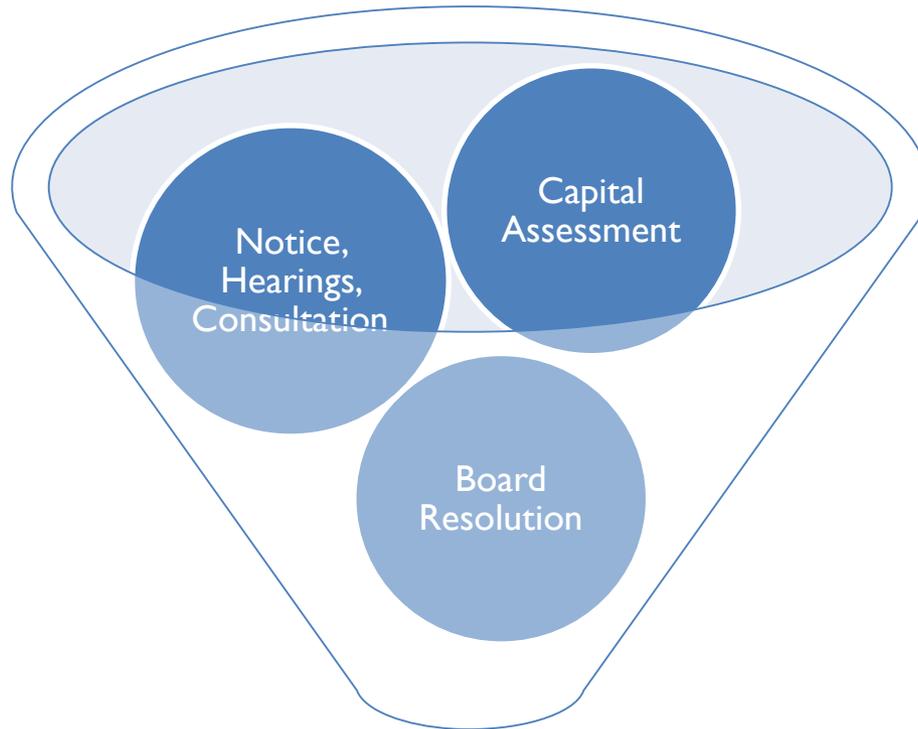
- Annual Capital Fund Processing Guidance on [Office of Capital Improvements Website](#):

✓	Key Components
✓	IMS/PIC Certification
✓	Current registration in the System for Award Management (SAM)
✓	Annual Contribution Contract (ACC)
✓	Statement of Significant Amendment (On file)
✓	Certifications Submitted to the Field Office

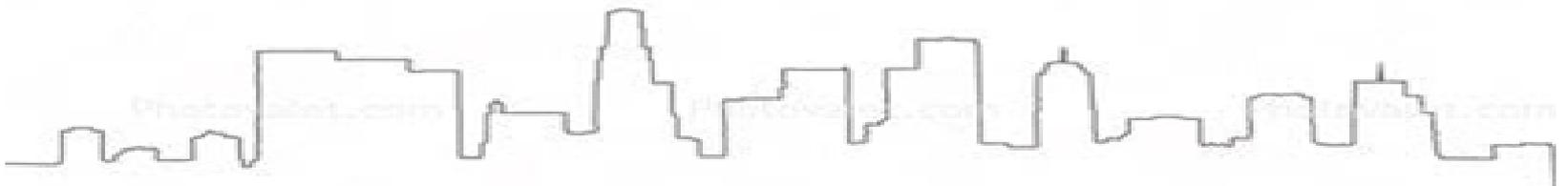




CREATING A CFP FIVE YEAR ACTION PLAN



Five Year Action Plan



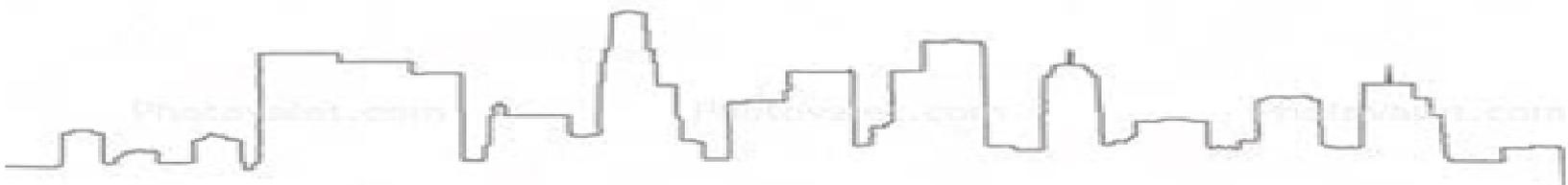


EPIC: ACTIVITY PLANNING MODULE



- PHAs are required to use EPIC for FY2018 and later Capital Fund Program awards.
- To access the Activity Planning Module, https://portalapps.hud.gov/app_epic/.

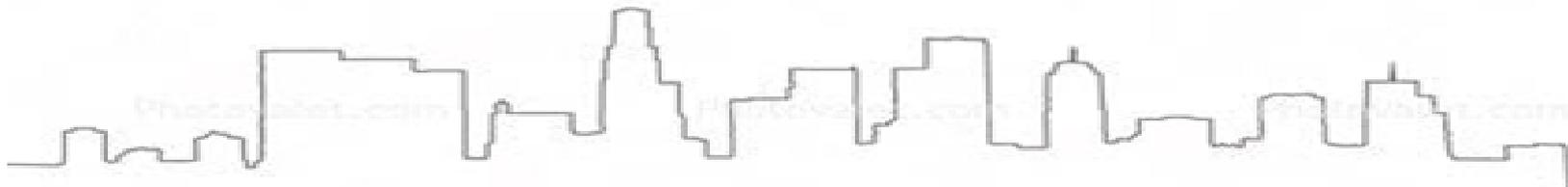
The screenshot shows the Energy and Performance Information Center (EPIC) interface. At the top, there is a navigation bar with the HUD.gov logo and a Help System link. Below this, the user is identified as RU108 with a Welcome back message and a Logout button. The main navigation menu includes Home, Core Activity/Energy Module, Development of New Housing, Activity Planning (selected), EPC, PNA, and User and Group Tools. Under the Activity Planning menu, there are links for 5-Year Action Plan and Annual Statement/Budget/P&E. A 'Selected PHA:' field is visible with a 'Change' button and OMB control number information. The main content area is titled 'AP1 » Home Page - Activity Planning Module' and contains a Paperwork Reduction Act Statement on the left and 'Activity Planning Functions' on the right. The 'Activity Planning Functions' section has two links: '5-Year Action Plan' (highlighted with a green arrow) and 'Annual Statement/Budget/P&E'.





5-YEAR ACTION PLAN – WHERE TO BEGIN?

- From the 5-Year Action Plan Reporting Homepage, use the copy forward icon under Options to create your next 5-Year Plan using the last approved 5YAP. 
- Please make sure to select a Fixed Plan or Rolling Plan (system defaults to Rolling).
 - A Fixed Plan covers 5 static years
 - A Rolling Plan is updated every year
- The system will also prompt you to estimate funding for the next 5 years.
- Finally, add/clone (copy) and edit work activities.



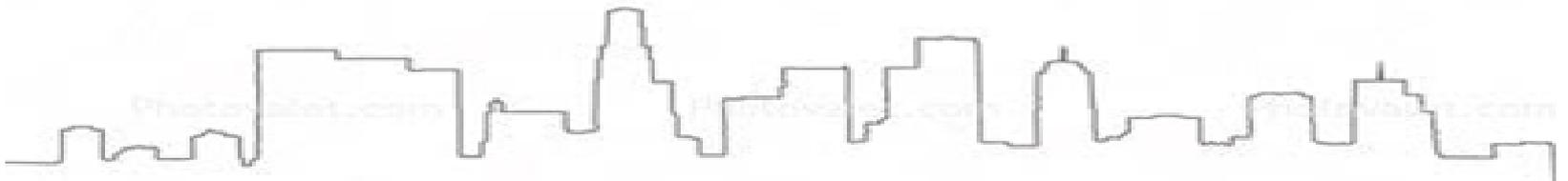


5-YEAR ACTION PLAN WORK ACTIVITIES

- To create a new work item, click on the Create New Activity at the bottom of the screen.
- In order to edit a work item select the Edit icon. 
- Either action navigates users to the Work Activity Details page, which contains 4 sections:
 1. Work Activity Information
 2. Affected Developments/AMPs
 3. Component Categories from PNA (not operational)
 4. Work Categories

The First Section important. Here you will enter the:

1. Title
2. Description
3. Force Account Y/N
4. Projected Year
5. Amount





BUDGET LINE ITEMS (BLI)/WORK CATEGORIES

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Program

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No. 2577-0157
 Expires 3/31/2020

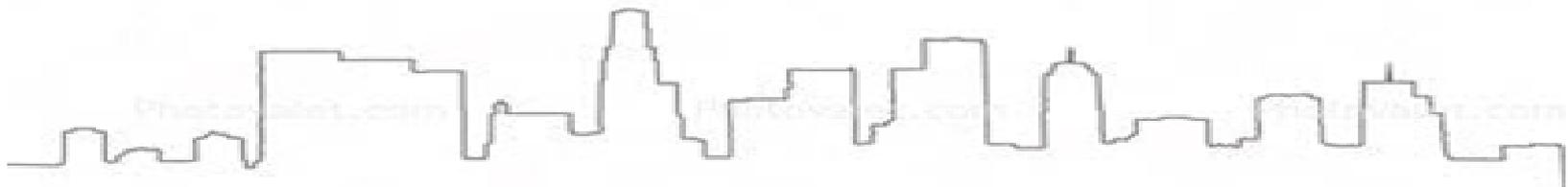
Part I: Summary

PHA Name:	Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: Date of CFFP:	FFY of Grant: FFY of Grant Approval:
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Type of Grant
 Original Annual Statement Reserve for Disasters/Emergencies
 Performance and Evaluation Report for Period Ending: Revised Annual Statement (revision no:)
 Final Performance and Evaluation Report

Line	Summary by Development Account	Original	Work Categories (Click to Expand)	Work Categories (Click to Expand)
1	Total non-CFP Funds		8. Work Categories:	
2	1406 Operations (may not exceed 20% of line 21) ¹		<input type="checkbox"/> Administration (1410)	<input type="checkbox"/> Management Improvement (1408)
3	1408 Management Improvements		<input type="checkbox"/> Bond Debt Obligation (9001)	<input type="checkbox"/> Non-Dwelling Construction - Mechanical (1480)
4	1410 Administration (may not exceed 10% of line 21)		<input type="checkbox"/> Contract Administration (1480)	<input type="checkbox"/> Non-Dwelling Construction-New Construction (1480)
5	1480 General Capital Activity		<input type="checkbox"/> Debt Service Bond Payment-Paid by HUD (9000)	<input type="checkbox"/> Non-Dwelling Equipment-Expendable/Non-Expendable (1480)
6	1492 Moving to Work Demonstration		<input type="checkbox"/> Debt Service Bond Payment-Paid by PHA (1501)	<input type="checkbox"/> Non-Dwelling Exterior (1480)
7	1501 Collateralization Expense / Debt Service Paid by PHA		<input type="checkbox"/> Dwelling Unit - Conversion (1480)	<input type="checkbox"/> Non-Dwelling Interior (1480)
8	1503 RAD-CFP		<input type="checkbox"/> Dwelling Unit - Demolition (1480)	<input checked="" type="checkbox"/> Non-Dwelling Interior (1480)
9	1504 RAD Investment Activity		<input type="checkbox"/> Dwelling Unit-Development (1480)	<input type="checkbox"/> Non-Dwelling Site Work (1480)
10	1505 RAD-CPT		<input type="checkbox"/> Dwelling Unit-Exterior (1480)	<input type="checkbox"/> Operations (1406)
11	9000 Debt Reserves		<input type="checkbox"/> Dwelling Unit-Interior (1480)	<input type="checkbox"/> Preparing for Coronavirus (1509)
12	9001 Bond Debt Obligation paid Via System of Direct Payment		<input type="checkbox"/> Dwelling Unit-Site Work (1480)	<input type="checkbox"/> Preventing Coronavirus (1509)
13	9002 Loan Debt Obligation paid Via System of Direct Payment		<input type="checkbox"/> Loan Debt Obligation (9002)	<input type="checkbox"/> RAD (1503)
14	9900 Post Audit Adjustment		<input type="checkbox"/> MTW (1492)	<input type="checkbox"/> RAD Funds Pre Closing (1480)
			<input type="checkbox"/> Management Improvement (1408)	<input type="checkbox"/> RAD Investment Activity (1504)
				<input type="checkbox"/> RAD-CPT (1505)
				<input type="checkbox"/> Responding to Coronavirus (1509)

¹ To be completed for the Performance and Evaluation Report.
² To be completed for the Performance and Evaluation Report or a Revised Annual Statement.
³ PHAs with under 250 units in management may use 100% of CFP Grants for operations.





5-YEAR ACTION PLAN APPROVAL

- Once the 5YAP is finalized the PHA will submit it for Approval.
- Approval can be:
 - Field Office Approval/EPIC System Approval
 - System Approval

5YAP1 » 5-Year Action Plan Reporting

[Help?](#)

Legend

» This plan has been submitted and cannot be edited

» Create New

» Edit Plan

» Unsubmit Plan

» Delete

» Copy Forward

» View

» View PDF

» Export Report

Please begin the reporting process by selecting an Award. Please contact your Administrator if you do not have access to a specific Award in the Award List below.

Please enter search criteria. A cumulative search is performed including all parameters provided.

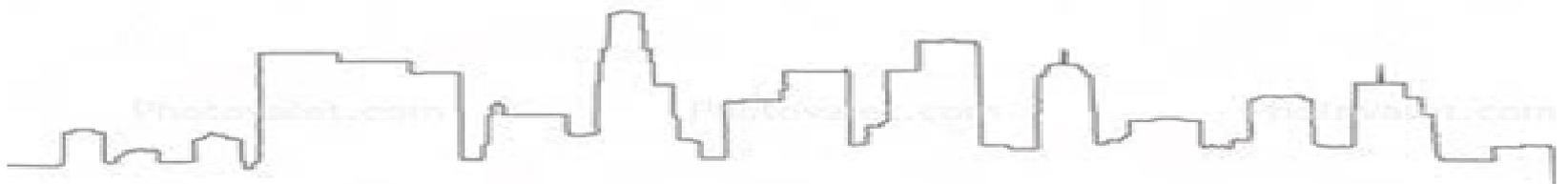
PHA Code:

PHA Name:

[Clear Search Results](#)

Five Year Action Plan

PHA	Plan	Type	Created Date	Last Modified	Report Year	Status	Submitted On	Approved By	Approved On	Options
	5-Year Action Plan for 2020-2024	Rolling	04/21/2020	04/21/2020	2020-2024	Submitted	04/21/2020	NA	NA	
	5-Year Action Plan for 2019-2023 Rev. 3	Rolling	10/28/2020	10/28/2020	2019-2023	Draft	NA	NA	NA	
	5-Year Action Plan for 2019-2023 Rev. 1	Rolling	11/15/2019	04/21/2020	2019-2023	Submitted	04/21/2020	NA	NA	
	5-Year Action Plan for 2019-2023 (0/1)	Rolling	07/03/2019	11/15/2019	2019-2023	Approved	07/03/2019		11/05/2019	





MAKING CHANGES TO YOUR 5YAP



[Go back to Plans Listing](#)
[Edit Plan Information](#)
[View PDF](#)
[Export Report](#)

Piggy Bank

Work Activity Cost			
Year	Estimated	Consumed	Balance
2020	\$395,670.00	\$395,670.00	\$0.00
2021	\$352,625.00	\$352,625.00	\$0.00
2022	\$352,625.00	\$352,625.00	\$0.00
2023	\$352,625.00	\$352,625.00	\$0.00
2024	\$352,625.00	\$352,625.00	\$0.00
Total	\$1,806,170.00	\$1,806,170.00	\$0.00

Legend

- Edit Work Activity
- Clone Work Activity
- Delete Work Activity
- View Work Activity Log
- Submitted Annual Statement/Budget (Cannot be Edited)
- Draft Annual Statement/Budget (Cannot be Edited)
- Approved Work Activity

[View Comments](#)

Work Activities

Search for Work Activities records using a Year Range, Development/AMP, and/or Work Activity name

Years to View: -

Development/AMP:

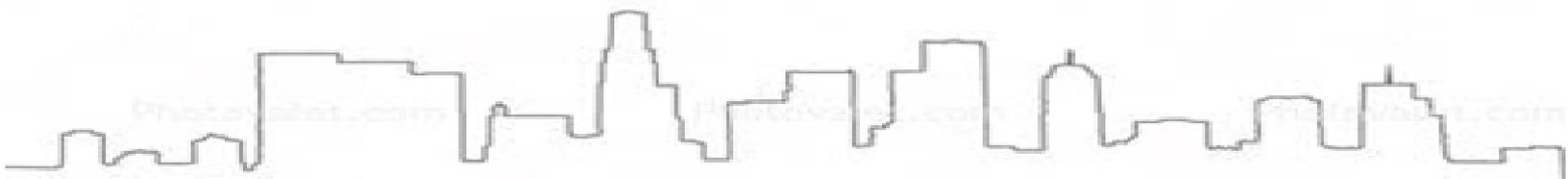
Work Activity Name:

Year	Identifier	Development/AMP	Activity	Amount	Options
2020	ID0002		Management Fee to	\$39,500.00	
2020	ID0005		Building Envelope Project	\$315,852.00	
2020	ID0014		Capital Improvements - Excess Cash Portion	\$40,318.00	
2021	ID0003		Management Fee to	\$36,550.00	
2021	ID0008		Additional Building Envelope Work	\$316,075.00	
2022	ID0004		Management Fee to	\$35,260.00	
2022	ID0009		Upgrade Building Interiors as Needed at Unit Turnaround	\$317,365.00	
2023	ID0005		Management Fee to	\$35,260.00	
2023	ID0010		Transfer to Operations	\$50,000.00	
2023	ID0011		Management Improvements	\$35,260.00	

The work activities and plan information has been saved. To add another work activity, click on "Create New Work Activity" button. To fudge work activities, click on "Fudge Work Activities" button. When all estimated amounts are consumed, the plan will be eligible for submission and a "Submit Plan" button is displayed. You can submit the plan by clicking the "Submit Plan" button. Once a plan is submitted, it will be locked and cannot be edited until Field Office approves or rejects the plan.

This plan cannot be submitted because:

-





ANNUAL STATEMENT/BUDGET

- Following the 5-Year Action Plan Submission, create a Budget (formerly the Annual Statement)

Help System

Energy and Performance Information Center (EPIC)
RU108, Welcome back!

Home
Core Activity/Energy Module
Development of New Housing
Activity Planning
EPC
PNA
User and Group Tools

5-Year Action Plan
Annual Statement/Budget/P&E

Selected PHA: Change

OMB CONTROL NUMBER: 2577-0274
 EXPIRATION DATE: 03/31/2015

AP1 » Home Page - Activity Planning Module

Paperwork Reduction Act Statement. The information collection requirements contained in this document have been approved by the OMB under the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and assigned OMB Control Number (2577-0274). In accordance with the Paperwork Reduction Act, HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information, unless the collection displays a currently valid OMB control number. The public reporting burden for the collection of information is estimated to average X hours per annum per respondent.

This page provides links to the 5-Year Action Plan and Annual Statement/Budget/P&E reports. The 5-Year Action Plan link will provide access to all action plans that have been completed and approved or that are

Activity Planning Functions

[5-Year Action Plan](#)
[Annual Statement/Budget/P&E](#)

AS1 » Annual Statement/Budget Reporting

This page lists the awards for which Annual Statements/Budget are created. This page also allows users to create new Annual Statements/Budget.

This section displays the awards that have Annual Statements/Budget

Annual Statements/Budgets linked to Awards

Show entries

Award Year	PHA Code	Award ID	Award Amount (HUD Obligation)	Options
2017		0117	\$249,964.00	View Statements
2018		0118	\$355,815.00	View Statements
2019		0119	\$369,832.00	View Statements
2020		0120	\$395,670.00	View Statements

Showing 1 to 4 of 4 entries

This table lists all the annual statements/Budget that are not associated with an award. Click on 'Assign to Award' link to associate corresponding annual statement/Budget with an award.

Annual Statements/Budgets not linked to Awards

Show entries

Award Year	PHA Code	Award ID	Title	Create Date	Options
No Annual Statement/Budget reports found.					

Showing 0 to 0 of 0 entries

[Create New Annual Statement/Budget](#)

Legend

Has Comments (Open/Total Comments)
 Edit Statement
 Delete Statement
 View PDF
 Assign to Award

15



How Do BUDGETS RELATE TO THE 5YAP?



5-Year Action Plan

Year	Identifier	Dev/AMP	Activity	Amount
2022	ID0581	STERLING TOWERS EAST & WEST (IL003000005)	Interior Unit Renovations	\$1,500.00
2022	ID0582	STERLING TOWERS EAST & WEST (IL003000005)	Exterior Unit Renovations	\$1,500.00
2022	ID0584	SCATTERED SITES (IL003000003)	Computers	\$5,000.00
2018	ID0173	Not associated with any specific development	Fees and Costs	\$129,928.83
2018	ID0174	HARRISON HOMES SOUTH (IL003000002)	Concrete Repairs	\$3,000.00
2018	ID0175	HARRISON HOMES SOUTH (IL003000002)	Interior Unit Renovations	\$51,065.45
2018	ID0176	RIVERWEST SOUTH PHASE 2 (IL003000009)	Interior Unit Renovations	\$35,716.83
2018	ID0181	RIVERWEST HOMEOWNERSHIP & SOUTH PHASE 1 (IL003000008)	Exterior Doors	\$33,458.63
2018	ID0182	RIVERWEST HOMEOWNERSHIP & SOUTH PHASE 1 (IL003000008)	Interior Unit Renovation	\$6,212.96
2018	ID0203	TAFT HOMES (IL003000004)	Interior Unit Renovations	\$72,391.88

**Annual Stmt/
Budget-Formula**

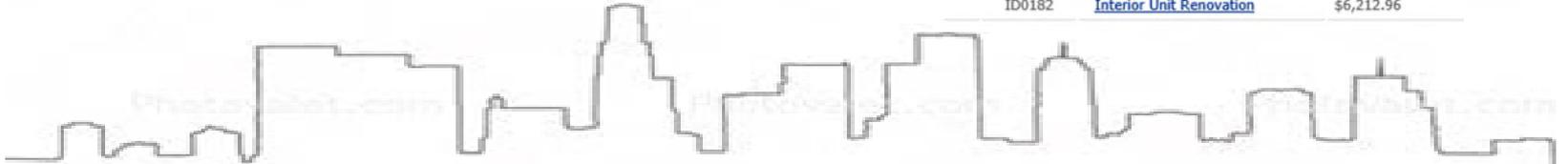
Work Activities

Identifier	Activity	Amount
ID0173	Fees and Costs	\$129,928.83
ID0174	Concrete Repairs	\$3,000.00
ID0175	Interior Unit Renovations	\$51,065.45
ID0176	Interior Unit Renovations	\$35,716.83
ID0181	Exterior Doors	\$33,458.63
ID0182	Interior Unit Renovation	\$6,212.96

**Annual Stmt/
Budget-Other Grant**

Work Activities

Identifier	Activity	Amount
ID0173	Fees and Costs	\$129,928.83
ID0174	Concrete Repairs	\$3,000.00
ID0175	Interior Unit Renovations	\$51,065.45
ID0176	Interior Unit Renovations	\$35,716.83
ID0181	Exterior Doors	\$33,458.63
ID0182	Interior Unit Renovation	\$6,212.96





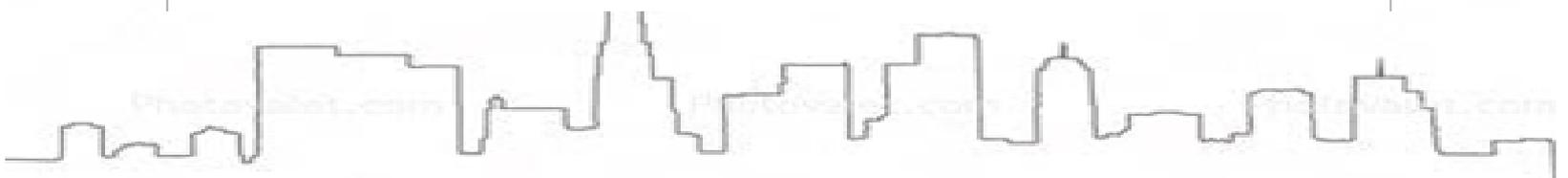
ANNUAL STATEMENT/BUDGET REVISIONS

- Once an Annual Statement/Budget is submitted a PHA may make revisions.
- Most changes do not require revisions to the 5-Year Action Plan. The exception is any change that would require approval from HUD.

Annual Statements/Budget

Show 10 entries Search:

Statement	Plan Name	Created Date	Last Modified	Report Year	Status	Options
Annual Statement/Budget Original	5 Year Action Plan for the 2019 - 2023	08/05/2019	09/18/2020	2019	Submitted	View PDF Export Report
Annual Statement/Budget Rev. 1	5 Year Action Plan for the 2019 - 2023	04/08/2020	09/18/2020	2019	Submitted	View PDF Export Report Unsubmit Statement Revise Statement Create New P&E Report Mark as Final





ANNUAL STATEMENT/BUDGET SPREAD

- EPIC checks for potential errors before it allows a user to submit a Budget.

AS3 » Activity List for Annual Statement/Budget » 5 Year Action Plan for 2020 - 2024

Help?

[Go back to Statement Listing](#)

Piggy Bank		
AS Amount	WA Planned Amount	Balance
\$1,904,544.00	\$1,904,544.00	\$0.00

BLI Piggy Bank				
BLI Number	Budget Line Item	Cumulative Amount	Percentage	Maximum Allowable Amount
1410	Administration	\$190,400.00	10.00%	\$285,681.60
1480	Capital Activity	\$1,929,144.00	99.54%	
1503	RAD-CFP	\$35,000.00	1.84%	\$30,160.00
1504	Rad Investment Activity	\$50,000.00	2.63%	N/A

Error
There are errors with the form that are preventing to continue to next step. Please review the errors below and correct them before continuing.

- BLI 1503 – The total of all work activities assigned to RAD (BLI 1503) does not match the BLI 1503 amount in LOCCS. In EPIC budget submissions, PHAs must exactly match the spread of funds to the RAD BLIs in LOCCS. The amount in EPIC is \$35,000.00 and the amount in LOCCS is \$30,160.00.
- BLI 1504 – The total of all work activities assigned to RAD Investment Activity (BLI 1504) does not match the BLI 1504 amount in LOCCS. In EPIC budget submissions, PHAs must exactly match the spread of funds to the RAD BLIs in LOCCS. The amount in EPIC is \$50,000.00 and the amount in LOCCS is N/A.
- The award amount for this grant in EPIC does not match the award amount in LOCCS. This discrepancy may have been caused by an adjustment to the award amount in LOCCS; there may be a time delay before EPIC reflects the new award amount in LOCCS. If the discrepancy persists, please email EPICHelp@hud.gov. The award amount in EPIC is \$1,904,544.00 and the award amount in LOCCS is \$1,904,548.00.

Annual Statement/Budget Information

1. Title:

2. Fiscal Year End:

3. Fiscal Year:

Grant/Award Information:

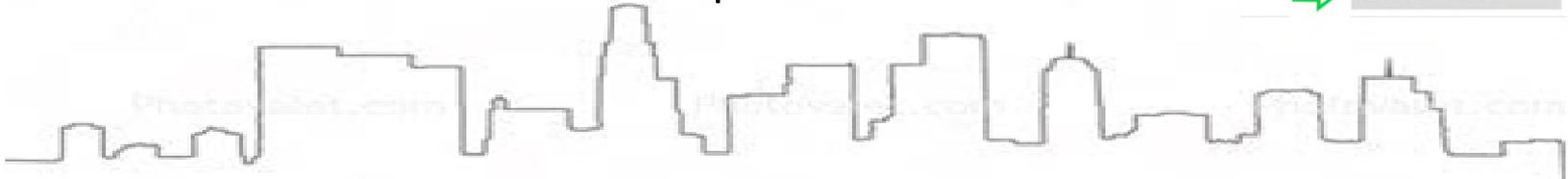
4. Award Number:

5. Cost:

- Once a budget is successfully submitted it will be loaded into ELOCCS within a few business days.
- Once a PHA has finished making all revisions to their Budget and it reflects the PHAs final expenditures items and amounts, the PHA can mark their Budget as “Final.” This indicates the grant is ready for closeout. To do so the user selects the link under the Options Column.

Search:

Status	Options
Submitted	View PDF Export Report
Submitted	View PDF Export Report Unsubmit Statement Revise Statement Create New P&E Report Mark as Final





PERFORMANCE AND EVALUATION REPORT (P&E)

- PHAs that have an approved 5-Year Action Plan and submitted Budget can create a P&E in EPIC.

HUD.gov Help System

Energy and Performance Information Center (EPIC)
RU101, Welcome back!

Home - Core Activity/Energy Module - Development of New Housing - **Activity Planning (CFP grant planning)** - EPC - PNA - User and Group - Tools

RU101
Logout
User and Group
Tools

5-Year Action Plan • Annual Statement/Budget/P&E Selected PHA: Housing Authority of [redacted] OMB CONTROL NUMBER: 2577-0274 EXPIRATION DATE: 07/31/2017

AS2 » Annual Statements/Budget List

Legend

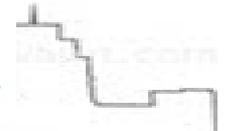
- This statement has been submitted and cannot be edited
- Revise the current statement (copies the statement)
- Edit the statement (does not copy the statement)
- Submitted as final P&E
- Delete
- Create P&E Report
- View PDF
- Export Report

Annual Statements/Budget

Show 10 entries Search:

Statement	Plan Name	Created Date	Last Modified	Report Year	Status	Options
Annual Statement/Budget Original	5 Year Action Plan for the 2017 - 2021 Rev. 1	11/08/2019	12/12/2019	2017	Submitted	View PDF Export Report
Annual Statement/Budget Rev. 1	5 Year Action Plan for the 2017 - 2021 Rev. 1	12/12/2019	12/12/2019	2017	Submitted	View PDF Export Report Revise Statement Create New P&E Report

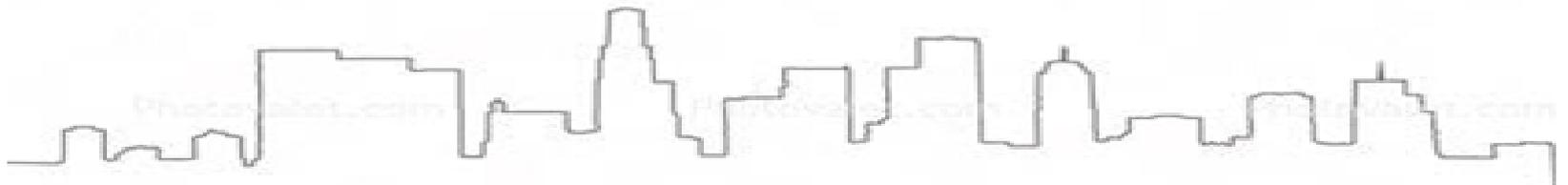
Showing 1 to 2 of 2 entries ◀ Previous Next ▶





CLOSE-OUT ACTIVITIES

- Mark the last Budget which reflects final expenditures in EPIC as “Final.”
- If the Field Office or HQ requests, do a Performance & Evaluation Report (P&E Report) in EPIC.
- Actual Modernization Cost Certificate (AMCC)/ Actual Development Cost Certificate (ADCC), Other Close-Out related forms are submitted to the Field Office.



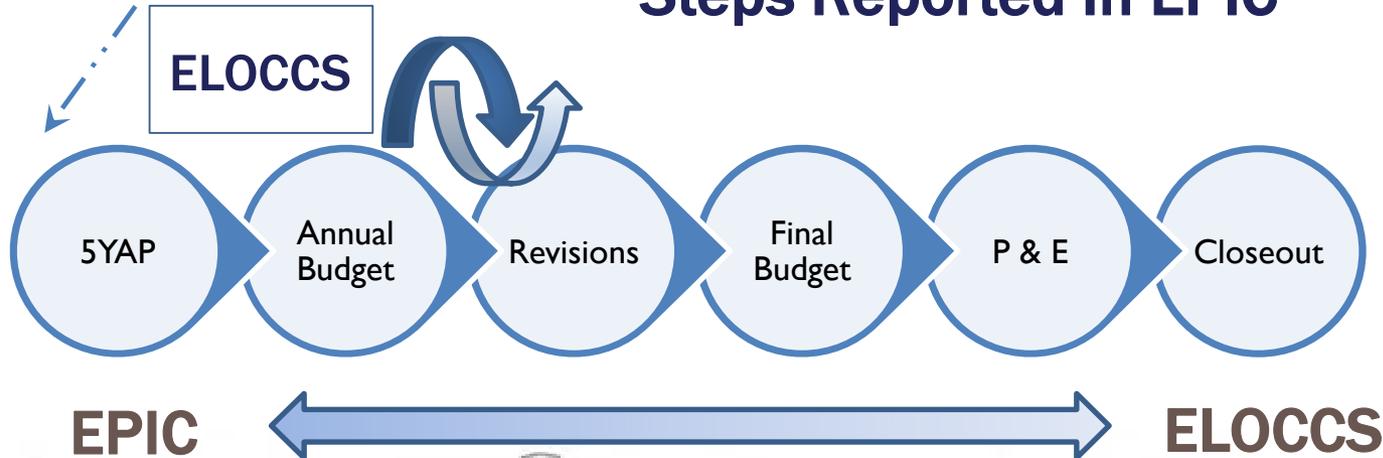


RECEIVING AND OBLIGATING CFP GRANTS

Steps to Receive a CFP Grant



Steps Reported In EPIC





QUESTIONS

For general questions or comments send an email to
PIHOCL@hud.gov

For more information and help with EPIC, visit our [website](#) or contact your local field office. If you need technical assistance email

EPICHelp@HUD.GOV

For more information on Planning and related Activities see Chapter 3 of the Capital Fund Guidebook:

<https://www.hud.gov/sites/documents/CAPITALFUNDGUIDEBOOKFINAL.PDF>

