Activity Planning Module

The Activity Planning Module (APM) within HUD’s Energy and Performance Information Center (EPIC) automates the development, submission, approval, and revision of Capital Fund Program (CFP) 5-Year Action Plans, Budgets and Performance & Evaluation (P&E) Reports.

Office of Capital Improvements
Public and Indian Housing
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1.0 ACTIVITY PLANNING MODULE OVERVIEW

The Activity Planning Module (APM) within HUD’s Energy and Performance Information Center (EPIC) automates the development, submission, approval, and revision of Capital Fund Program (CFP) 5-Year Action Plans (Form HUD-50075.2), Budgets and Performance & Evaluation (P&E) Reports (Form HUD-50075.1).

All Public Housing Authorities (PHAs) are required to use EPIC for FY2018 and later CFP awards. Therefore, all PHAs must obtain HUD approval of a 5-Year Action Plan in EPIC that includes FY2018 among the grant years and must electronically submit Annual Statements/Budgets in EPIC for their FY2018 CFP grant in order to access the funds. This requirement applies to all future CFP grant awards as well. HUD staff do not have discretion to waive this requirement.

To access the Activity Planning Module, a user will log in to the EPIC system using this link: https://portalapps.hud.gov/app_epic/.

From the EPIC homepage, the user will click on the Activity Planning Module tab that is listed in the row across the top of the page. Once a user selects the Activity Planning Module tab, the user may be presented with a window to select a PHA. Once the user selects a PHA, they will be presented with the Activity Planning functions. See figures below.

![Figure 1: Activity Planning Module Tab Displayed at Top Center of EPIC Homepage](image-url)
Under the heading **Activity Planning Functions**, users see two options:

- 5-Year Action Plan
- Annual Statement/Budget/P&E
2.0 FIVE-YEAR ACTION PLAN

Selecting 5-Year Action Plan will take the user to the 5-Year Action Plan Reporting Homepage, from which the user can choose to copy forward a new 5-Year Action Plan (5YAP) or edit an existing 5YAP.

The 5-Year Action Plan Reporting Homepage contains a legend which indicates the meaning of various symbols used on the page.

2.1 Copy Forward a 5YAP

From the 5-Year Action Plan Reporting Homepage, to create the next required 5YAP, users select the “Copy Forward” icon next to the last approved 5YAP. As the legend indicates, the icon looks like this:

```
Icon 1: Copy Forward
```

Note: If a PHA has never created 5YAP, the user will need to create a new 5YAP using the green plus sign, this icon will only be available if there is no 5YAP, even in a draft status.

```
Icon 2: Create New
```

5YAP1 » 5-Year Action Plan Reporting

![Figure 4: 5-Year Action Plan Reporting Page](image-url)
Once the PHA selects *Copy Forward* the PHA will be asked to enter information about the 5-year reporting period on the **5YAP Details** Page.

**Figure 5: Confirm – Create Action Plan**

**Figure 6: 5YAP Details Page: Rolling Plan**

**Figure 7: 5YAP Details Page: Fixed Plan**
2.2 5YAP Details Page:

➢ **Type of Plan:** Users may select between *Fixed Plan* and *Rolling Plan*. The system will default to the last type of plan the PHA selected. If the PHA wishes to change from one type to another the PHA must ensure they are at the end of a 5-year reporting period.\(^1\)

➢ **Five Year Action Plan Starting Year:** The starting year for the 5YAP. This will be automatically populated by the system. The 5YAP that the system will populate will depend on whether the PHA wishes to operate under a Fixed or Rolling Plan, and the years covered under the PHA’s current 5YAP.

➢ **Estimated Amounts by Plan Year:** Users should enter the current year funding amount as an estimate for each year. PHAs may edit the *Estimated Amounts* in 5YAPs after they have been created. These amounts are meant to be estimates only and are only required to balance upon submission. For PHAs with Fixed Plans the *Piggy Bank* will likely not balance as the years go forward, which is not a problem as the PHA will be forced to balance their annual budget submissions.

Estimated amounts for each year of the 5YAP should include any Replacement Housing Factor (RHF) grant funds received, in addition to Formula Grants (including any Demolition Disposition Transitional Funding (DDTF)) or any other CFP Grants such as Lead Based Paint or Emergency grants, among others in the appropriate year.

When entering *estimated amounts* for all future years of the 5YAP, PHAs must enter the dollar amount for the most recent grant year that has been awarded, subject to the following exceptions:

➢ PHAs must adjust *estimated amounts* for the expiration or reduction of eligibility for RHF and DDTF grants. PHAs that expect to borrow funds either through the Capital Fund Financing Program (CFFP) or an Energy Performance Contract (EPC) should include the expected proceeds in their estimates.

➢ PHAs anticipating other substantial influxes of funds (e.g., tax credit proceeds) should include these funds in their estimates.

➢ PHAs that receive extra CFP funds awarded through successful application to a Notice of Funding Opportunity (NOFO), such as Lead Based Paint grants, or Housing Related Hazard grants, in addition to awards for Emergency Safety and Security grants should add the amounts awarded to the appropriate year of source funds awarded. This may not be the same as the year the funds were awarded. For example, if the award was made in 2020, but the funding source is 2019, the PHA should add the grant amount to their 2019 funding estimates.

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\(^1\) PHAs should refer to [Appendix B](#) of this User Guide for additional information regarding types of plans.
➢ PHAs with Rental Assistance Demonstration (RAD) CHAP, portfolio, or multi-phase awards that plan to remove units from their public housing portfolio through RAD should deduct the estimated amount of the Capital Fund grant associated with the RAD project. This number should be the same as the estimate included in the PHA Plan or RAD Significant Amendment.

➢ PHAs with fewer than 250 Public Housing dwelling units (“Small PHAs”) with Fixed Plans may choose to estimate that they will receive a larger grant amount in future years than in the current year, in order to include “standby” work activities in future years. For example, a PHA with a fixed plan and most recent grant amount of $100,000 may enter estimated amounts of $120,000 in years 4 and 5 of the 5YAP in order to include standby items while keeping the expected revenue and expenses in balance. This option provides additional flexibilities to these Small PHAs.

- This exception is not available to PHAs with Rolling Plans, as the nature of a Rolling Plan ensures that there will always be four years of future work activities available to funge, or reassign, to the current year.

While the 5YAP Details Page displays the PHA Fiscal Year End, this information cannot be edited. It is based on data reported through other HUD systems. Once the user has entered all necessary information on the 5YAP Details Page, the user selects Copy Forward.

The user will be directed to the Review Summary Page. This page will display any work activities that the system will automatically copy forward into the new plan.

![5YAP Details Page](image)

Figure 8: 5 Year Action Review Summary Page: Fixed Plan

Note: Because Fixed plans have no overlapping years, there may be no work activities to be copied forward.
The user should select Complete to proceed in creating the new 5YAP or Cancel if the user does not wish to copy forward their plan. Once the user selects Complete, the user will be returned to the 5-Year Action Plan Reporting Page.

2.3 Fixed Plans Create New Work Activities

Once a new Fixed 5YAP has been created, users will begin editing the newly created Draft Plan. Click on the Edit Plan icon to navigate to the Activities List Page.

Figure 9: 5 Year Action Review Summary Page: Rolling Plan

Figure 10: 5 Year Action Review Reporting Page: Edit Draft
On this page users will select either Create New Work Activity or Funge Work Activities. Users may notice a yellow warning message indicating that the plan cannot be submitted because estimated amounts are greater than consumed amounts. As work activities are added for each year to indicate how estimated funds will be used, these messages will disappear.

2.4 Rolling Plans Create/Edit/Delete/Clone Work Activities

Once a new Rolling 5YAP has been created, users will begin editing the newly created Draft Plan. Click on the Edit Plan icon to navigate to the Activities List page.

When a Rolling 5YAP is copied forward any unused approved work items that correspond to the new 5-year period will be copied forward by the system. The last year of the plan will contain no work activities and therefore, new activities will have to be created or cloned from other years.

For example, if a user copied forward a 2019-2023 Rolling 5YAP, the system would create a new plan for 2020-2024 and any unused and approved work activities from 2020-2023 would be copied into the new plan, with 2024 being blank. Users may notice a yellow warning message
indicating that the plan cannot be submitted because estimated amounts are greater than consumed amounts. As work activities are added for each year to indicate how estimated funds will be used, these messages will disappear.

Note: If a work activity is tied to a Budget (has been imported into a draft or submitted budget), the system will see it as being “used” and not bring it into a new plan. Please see section 2.10 Funge Work Activity for how to resolve this issue.

2.5 Adding/Creating a Work Activity

Users create new work activities by selecting the Create New Work Activity button at the bottom of the Activities List page. This action navigates users to the Add Work Activity page. The Add Work Activity page contains four sections: Work Activity Information, Affected Developments/AMPs, Component Categories from PNA (not operational), and Work Categories. Users can select the Click to Expand links to expand the latter three sections.

![Add Work Activity Page](image)

**Figure 13: Add Work Activity Page**

- **Work Activity Information:** Users enter a Title, Description, Cost, and Projected Year for the Work Activity. In entering Work Activity Information, PHAs must adhere to the following:
  - PHAs planning to complete a work activity using force account labor must check the box that says Force Account. Should a PHA wish to complete an activity using force account labor that was not designated as such at the time of 5YAP approval, or wish to complete an activity designated as force account at approval using another vehicle, the PHA user must copy or “clone” the work activity in EPIC, change the radio button for Force Account, and submit the activity for Field Office approval.
- HUD will use PHAs’ selections in EPIC to update BLIs in LOCCS; therefore, EPIC will only allow each work activity to be associated with a single BLI. In addition, each Work Activity must be associated with a single Projected Year and Development. PHAs must create multiple work activities for work items combining funds across multiple grant years or spanning multiple developments. For example, if kitchens will be upgraded in 10 units, with 5 units upgraded using 2020 Capital Funds and 5 units upgraded using 2021 Capital Funds, the PHA user would enter a separate work activity for each year and reflect the costs separately. The Clone Work Activity feature described later in this manual can assist users in quickly copying work items that can then be modified to cover different years.

- The Work Item Description must provide sufficient specificity to facilitate effective HUD Field Office review of the plan, including enabling the Field Office to assess the level and type of environmental review required. PHAs are encouraged to enter information in the Description field on the scope of the activity (e.g., number of units impacted).

For example, for a work activity covering roof replacement at a particular development, a sufficient description may read: “Installing new 20-year roof, as well as gutters and soffits, at low-rise building containing 5 Public Housing units.” A work description simply stating “Roof” would be insufficient, because it does not indicate whether the activity will cover full-scale replacement of the roof or simply patching portions of the roof, a distinction with implications for the level and type of environmental review required.

➢ Affected Developments/AMPs: Once the Work Activity Information has been entered, users click the Click to Expand link next to Affected Developments/AMPs. Users will then view a list of development numbers and names along with ACC unit counts. In addition, users will see a record with a Development Number of “N/A”.

For each work activity, the user marks the radio button to the left of the development at which the activity will take place. For work not tied to a specific development (e.g., Administration), the user selects N/A for the Affected Developments/AMPs. For construction activities on a non-dwelling building or site (e.g., capital items at administrative offices), the user must select the specific development of which the site is a part; “N/A” should only be selected if the site is not contiguous to or included within a development. If a work item spans multiple developments, the user must create separate Work Activities. The Clone Work Activity feature described later in this manual can assist users in quickly copying work items that can then be modified to cover different years.
Component Categories from PNA: This functionality is not yet available. Once implemented, it will enable users to select capital needs identified within a PHA’s Physical Needs Assessment (PNA) and quickly add them to a 5YAP. In the interim, users will not see any component categories listed when they expand this section of the page, and no selections are needed.

Work Categories: Upon selecting the Click to Expand link next to Work Categories, users will see a listing of categories. Users will notice that some categories, such as “Dwelling Unit” are marked with a plus sign to the left of the category name; other categories, such as “Dwelling Unit – Conversion” are not marked with a plus sign. Users will also see that each work category name includes the Budget Line Item (BLI) in parentheses. These BLIs reflect the simplified BLI structure announced in PIH Notice 2016-21 (see: http://portal.hud.gov/hudportal/documents/huddoc?id=PIH-2016-21.pdf).

Users will select the appropriate Work Category and, if applicable, Sub-Category or Sub-Categories for each new work item. For example, if the Work Activity covers roof installation on a dwelling structure, the PHA would select “Dwelling Unit-Exterior (1480)” as the Work Category. As the Dwelling Unit-Exterior category is marked with a plus sign, the PHA user would expand the category and select the appropriate sub-categories as well—in this case, “Roofs”, “Gutters - Downspouts”, and “Soffits”. These selections are displayed in Figure 10.

HUD will use PHAs’ selections in EPIC to update BLIs in LOCCS; therefore, it is imperative that each Work Activity be associated with a single BLI. PHAs may select more than one Work Category for any Work Activity, provided that the Work Categories do not fall under different BLIs. For example, a PHA user may select Dwelling Unit-Interior (1480) and Dwelling Unit-Exterior (1480), along with the applicable sub-
categories, for a work item including both types of work in a single development and using a single year’s grant. However, a user may not select both Dwelling Unit-Interior (1480) and Management Improvements (1408) because these Work Categories fall under different BLIs.

Each work activity should approximately tie to each contract or project at a site, and when selecting work categories, they should in turn be specific enough for the Field Office to monitor the appropriate use of funds for each work item. For example, one work activity should not be a catch all for every type of work being performed in a building. This also allows the PHA the flexibility to adjust the scope of work being performed over time and reschedule as needed.
Figure 15: Screenshot of Portion of EPIC Add Work Activity Page, Displaying Work Categories and Sub-Categories
➢ Force Account: PHAs should select the appropriate radio button if planning to complete a work activity using force account labor. Should a PHA wish to complete an activity using force account labor that was not designated as such at the time of 5YAP approval, the PHA must change the Work Activity Information selection for Force Account from No to Yes, which will trigger a revision of the plan and requires resubmission to the Field Office for approval.

![Figure 16: Force Account Radio Button](image)

Upon entering all necessary information for the new work activity, the user clicks Save. If any required information is missing, the user will receive a message explaining which items are missing. If all items are complete, the work item will be saved. The user will then be returned to the Activities List page, where the new work item will appear. The Piggy Bank on the left side of the screen will then include the cost of the work activity under the “Consumed” cost for the given year.
Figure 17: Activities List Page

2.6 Edit Work Activity

After a new work activity has been created, users have two options for editing a work activity, depending on what needs to be changed.

If the user only needs to edit the year a work activity, the user selects the check box next to the work activity and dropdown options to change the year will become available. Likewise, if the user wants to change the amount of the activity the user checks the box and the cost field becomes editable. The user can select as many or as few activities as they wish. The user must hit save changes at the bottom for the changes to take effect and show up in the Piggy Bank.
Figure 18: Quick Edit Checkbox: Year and Amount

If any other changes need to be made to a work item, the user can edit the work activity by selecting the Edit Work Activity Icon next to that work activity on the Activities List Page. The icon looks like this:

Icon 3: Edit Icon

Figure 19: Activities List page – Edit Work Activities Icon

Upon selecting the Edit icon on the Activities List page, the user can make edits to the work activity via the Edit Work Activity Page. To edit the Affected Development/AMPs, Component Categories from PNA, or Work Categories sections, the user will need to select the link to expand the appropriate section. The user will select Save to update the work activity information. Note that once the 5YAP has been submitted to HUD, and once work activities have been connected to a Budget in EPIC, options for editing work activities become more limited.
2.7 Clone Work Activity

After a new work activity has been created, users can create a copy, or clone, of the work activity. Users may find this option helpful in cases where the same or similar work is being done across multiple developments or years. For example, suppose a work activity was created for roof installation in 2020 in development AB123000001. If roof installation will also be done in 2020 in development AB123000002, the user may wish to copy the existing work activity and then edit the copy to change the development number and cost, as needed.

Users create a copy of an existing work activity by selecting the Clone Work Activity Icon next to that particular work activity on the Activities List Page. The icon looks like this:

Icon 4: Clone Icon

Upon selecting the Clone Work Activity Icon next to a particular work activity, the user will receive a message asking to confirm the action.

Figure 20: Edit Work Activity Page

Figure 21: Clone Work Activity Confirmation
Upon selecting “OK”, the user will see that a copy of the existing work activity has been added to the Activities List Page. The “Piggy Bank” on the left side of the Activities List Page will have adjusted accordingly.

![Figure 22: Clone of Work Activity on Activities List Page](image)

### 2.8 Delete Work Activity

Users can delete an existing work activity by selecting the Delete Work Activity Icon next to the particular work activity on the Activities List Page. The icon looks like this:

![Icon 5: Delete Icon](image)

Upon selecting the “Delete Work Activity” icon, users will receive a popup message confirming the action.
Figure 23: Delete Work Activity Confirmation

Upon selecting “OK”, users will be returned to the Development List page, and the deleted work activity will no longer be displayed. The “Piggy Bank” on the left side of the Activities List Page will have adjusted accordingly.

2.9 Work Activity Log

Users can select the Work Activity Log icon to see a history including when the work activity was created, edited, and copied/克隆, and the user ID of the user who entered these actions. The icon looks like this:

Icon 6: Log Icon

Upon selecting the Work Activity Log icon for a particular work activity, a log similar to that shown below will be displayed.

<table>
<thead>
<tr>
<th>Work Activity Log for ID0001</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activity</td>
</tr>
<tr>
<td>Work Activity has been cloned to create a copy as ID0002</td>
</tr>
<tr>
<td>Work Activity has been created</td>
</tr>
</tbody>
</table>

Figure 24: Work Activity Log

2.10 Funge Work Activities

For work activities that are not yet connected to a Budget in EPIC, users can move the work activity from one year to another through the Edit Work Item functionality. However, once work items are connected to a Budget in EPIC, moving work items between years requires users to utilize the Funge Work Items functionality.

In order to funge work activities between years, users select the Funge Work Activities button at the bottom of the Activities List Page.
Upon selecting the *Funge Work Activities* button, users are directed to the *Funge Work Activities* page. On this page, users will first select the Source Year. This is the year from which the work activity is moving. Upon selecting a Source Year, the work activities currently listed in that Source Year are displayed. Users check the work item or items they would like to move and select “Add to Queue”. The work item(s) selected then appear in the queue.

Note that multiple items from the same Source Year may be selected and added to the queue. In addition, once work items from one Source Year are selected and added to the queue, users may then select another Source Year and add items from that Source Year to the queue. Therefore, the queue may include multiple work items, including multiplying work items from different Source Years.

Once all items to be moved to a new Fiscal Year are displayed in the queue, the user selects “Continue”.

*Figure 18: Funge Work Activities Button on Activities list Page*
Upon selecting *Continue* from the *Funge Work Activities* Page, the user will be directed to a new webpage listing the queued work items. The user selects a Destination Year. This is the year into which the work item is moving. The user then selects a work item or work items and selects the *Funge* button to move the work item(s) to the Destination Year. If the user has added multiple work items to the Funge Work Items Queue, the user can then select another Destination Year and repeat the process to funge work items to that Destination Year. Funged Work Items appear in the table at the bottom of the screen. Once the user has fanged all queued work items to a new Destination Year, the user selects *Continue*. 

*Figure 25: Funge Work Activities-Select Work Activities from Source Year*
Upon fungsing activities to a new Destination Year and selecting Continue, the user will be directed to a summary/confirmation page. This page includes a Piggy Bank showing the current amounts and the changes that would be applied as a result of fungsing work activities. It also displays a summary of the fungability actions (i.e., a list of work activities and the years in which they are moving from and to.) If the user needs to make changes, they may select the Back or Cancel buttons. To complete the fungability actions, the users selects Complete.
Figure 27: Funge Work Activities - Review Work Activity Fungibility

Upon selecting Complete, the user views another summary page with a link to Return to Activity List.

Figure 28: Funge Work Activities – Summary of Completed Fungibility Actions

2.11 Submit Plan

From the Activities List Page, users can select the View PDF link on the left side of the page above the Piggy Bank to view a PDF of their plan. This facilitates saving copies of the plan.
outside of the EPIC system and printing the plan. This option is available for 5YAPs in all statuses, whether Draft, Submitted, or Approved. It is available to both PHA and HUD users.

Once all work activities have been added and the cost of those work activities matches the estimated cost for each year of the 5YAP, the user may submit the 5YAP for HUD approval.

Note that the plan may not be submitted until the Piggy Bank on the Activities List Page shows balanced estimated revenues and expenses. The Piggy Bank is in balance when the Estimated and Consumed costs match for each year and the Balance for each year is $0.00. If the Piggy Bank is out of balance, adjustments may be made on the revenue side by editing projected amounts for each year. To make these changes, select the Edit Plan Information link on the Activities List page above the Piggy Bank. Adjustments may also be made to the cost estimates by editing work activities or funging work activities.

Once the Piggy Bank is in balance, yellow warning messages will no longer appear at the bottom of the Activities List Page and the Submit button at the bottom of the Activities List Page will be activated. Note that once a 5YAP is submitted, it will be locked and cannot be edited until the Field Office approves or rejects the plan.
Upon selecting “Submit”, users will receive a popup message.

**Figure 29: Activities List Page – Submit Plan Button**

**Figure 30: Submit Plan Confirmation**
Upon selecting “OK”, the user will be directed to the **5-Year Action Plan Reporting** Page. The 5-Year Action Plan will be displayed with a lock icon, indicating the plan has been submitted and cannot be edited.

![Icon: Submitted Icon](image)

**Figure 31: 5-Year Action Plan Reporting Page Showing Submitted 5YAP**

### 2.12 5-Year Action Plan Approvals

There are two ways a 5YAP will be approved.

1. Field Office Approval/EPIC System Approval
2. System Approval

When a PHA submits a plan that contains changes that require HUD approval the system will show a status of “Submitted” until the Field Office begins its review. EPIC will display where in the process the submitted plan is under the categories of “Under Review,” or “Approved/Rejected”. A column will also show who approved the plan. The PHA will not be able to edit or copy their Plan until this process is complete. However, please note that between the dates of May 14, 2020 and December 31, 2020 HUD waived this requirement. For further information please refer to PIH Notice 2020-07 and corresponding Reporting Guidance. During this time-frame EPIC will automatically approve any PHA Plan that is successfully submitted by a PHA. The Plan will show EPIC System under the “Approved By” column.

When a PHA funges work activities in their 5YAP it does not require HUD approval, but the system will generate a revision and it will show as approved by “System.”
3.0 ANNUAL STATEMENT/BUDGET/P&E

Once a PHA has an approved 5YAP, the next step in the process is to create a Budget (formerly referred to as an Annual Statement). The approved 5YAP becomes the basis for Budget reporting within EPIC. The Budget can only be created after a 5YAP has been approved, and it will be linked to the approved plan.

The Budget will consist only of approved work activities from the 5YAP. PHAs will select work activities from the applicable year of their 5YAP to add to the Budget. In addition, PHAs may import approved work activities from other years of the 5YAP into the Budget; PHAs may use this option if they have had a change of plans and would like to complete the activities included in the 5YAP in a different order, shifting some activities between years.

Selecting Annual Statement/Budget/P&E from the Activity Planning Module homepage will direct the user to the Annual Statement/Budget Reporting Page.

The Annual Statement/Budget Reporting Page enables a user to create a new Budget, associate a Budget with a grant award, and edit and submit Budgets. These functions will be detailed in the following sections.

3.1 Create a New Annual Statement/Budget

To create a new Budget, users select the Create New Annual Statement/Budget link on the Annual Statement/Budget Reporting Page. This option will not be available if the PHA does not yet have an approved 5YAP in EPIC.
Before selecting the *Create New Annual Statement/Budget* link to create a Budget for a particular year, the user should confirm that a Budget for that year has not already been created in EPIC. Any Budgets not yet linked to a grant award would display on the right side of the screen under *Annual Statements/Budget not associated with Awards*; if a Budget for the year of interest appears here, the user should not create a new Budget. Instead, the user should refer to Section 1.2.4 for instructions on linking the draft Budget to an award. Budgets already linked to an award would display on the left side of the screen under *Annual Statements/Budgets linked to Awards*; if a Budget for the year of interest appears here, the user should not create a new Budget. Instead, the user should refer to Section 1.2.6 for information on viewing, editing, and revising Budgets.

**Figure 33: Annual Statement/Budget Reporting Screen – Create New Annual Statement/Budget Button**

Upon selecting the *Create New Annual Statement/Budget* button, users will be directed to a new page on which they will enter the following pieces of information:

- **Title**: The title for the Budget. This title may refer to the grant award or funding source and the year (e.g., 2015 Formula Grant)
- **5YAP Year**: Indicate to which 5YAP year the Budget corresponds.
- **Applicable 5-Year Action Plan**: Indicate which 5-Year Action Plan should be linked to the Budget. The system will automatically populate the most recent and appropriate 5YAP. For Rolling Plans, the PHA must have a 5YAP where the beginning year corresponds to the same starting year as the Budget year being entered. For example, for a 2020 Budget, the PHA must have a 5YAP that begins with 2020.
➢ **Award and Estimated Award Amount**: At the time of creation of a new Budget, the PHA may or may not have received the Capital Fund grant or other source of funding for the year specified.

If the Capital Fund grant for the year selected has been received, the user selects the award from the Select Award drop-down box. This grant information is pre-populated from LOCCS. If a grant award is selected, the amount will be automatically displayed in the Estimated Award Amount box and cannot be edited. An example is shown in Figure 31 below.

If the Capital Fund Award for the selected year has not yet been received, the user may proceed in creating the Budget using an estimated award amount. In this case, selecting the arrow in the Select Award box will display a message stating *No Awards Found*. The user will leave that message in the Award box and will enter an Estimated Award Amount. This estimate will likely match the estimate entered in the approved 5YAP. An example is shown in Figure 32 below. Once the grant award is received, the PHA will link the Budget to the award in EPIC; PHAs cannot submit Budgets in EPIC until the Budget is linked to an award. HUD will not spread the budget in LOCCS, and the PHA may not draw down funds, until the Budget in EPIC is linked to the grant award and submitted.

![Figure 34: Create New Annual Statement/Budget – Select Award Year and Award](image-url)
Upon selecting *Continue*, users will be directed to a new page on which they will select the work activity or activities for the Budget. The work activities listed will be those for the selected year in the approved 5YAP. The user will then select the *Complete* button at the bottom to create the new Budget.

### Figure 35: Create New Annual Statement/Budget – Select Work Activities

#### 3.2 Import Work Activities

Once a Budget is created, the user will be directed to the *Activity List for Annual Statement/Budget* Page.

The user may select the *Import Work Activities* button at the bottom of the screen to import work activities from other years.
Upon selecting Import Work Activities, the user is directed to the Add Activities to the Annual Statement/Budget Page. On this page, approved work activities included in the 5YAP for different years are displayed. The user may select from among these activities and add them to Budget by using the Add Work Activities link. Users may want to use this functionality if the PHA has had a change of plans and would like to complete the activities included in the 5YAP in a different order, shifting some activities between years. However, once an activity is imported into a Budget of a different year, the 5YAP will update to reflect that year. Users will not be able to edit these activities in the 5YAP until they are no longer associated to a Budget.
Once the user has added the work activities, the user selects the Add Work Activities button. The user will then be directed to the Activity List for Annual Statement/Budget Page. On this page, the BLI Piggy Bank will appear.

On the bottom of the Activity List for Annual Statement/Budget Page, the user may select Save Report at any time to save the report as a draft. Selecting Save Report returns the user to the Annual Statement/Budget Reporting Page.

### 3.3 Assign Annual Statement/Budget to an Award

On the Annual Statement/Budget Reporting page, Budgets that are not yet linked to an award appear on the right side of the screen. Users with the appropriate permissions can click on the
“Assign to Award” icon next to a Budget to associate a Budget with an Award. The Assign to Award icon looks like this:

![Icon 8: Assign to Award Icon](image)

Upon selecting the Assign to Award icon, the Associate Annual Statement/Budget with Award page is displayed. The user can select the radio button for the award and then click the Complete button to assign an award to the Budget.

![Figure 39: Annual Statement/Budget Reporting – Assign to Award Icon](image)

Upon selecting a grant award and selecting Complete, the user will be returned to the Annual Statement/Budget Reporting Page. The Budget that is newly linked to a grant award will no longer be displayed on the right side of the screen in the table for Annual Statements/Budget not associated with Awards. However, the Budget will now be displayed on the left side of the screen in the table for Awards with Annual Statements/Budget List.
The user will be directed to the **Annual Statements/Budget List** Page for the specific award. The user will then select **View Statements**. The user may then edit and import work activities as previously described.

**Figure 41: Annual Statement/Budget Reporting Page – Annual Statement/Budget Associated with Award**

**Figure 42: Annual Statement/Budget List for a Grant Award**

### 3.4 Edit Work Activities

Once work activities have been added to the Budget, users can click on **Edit** option next to an activity on the **Activity List for Annual Statement/Budget** Page to edit the work activity.
The **Work Activity Details** page displays the following information on the work activity, some of which may be edited.

- **Work Activity Information**: Users may wish to edit certain elements of the work activity, such as the cost, and may do so using this functionality.
- **Budget Line Item Information**: This can only be edited in the 5YAP as it must be approved by HUD.
- **Component Categories from PNA**: This functionality is not yet available.
- **Work Categories**: PIH Notice 2016-21 (see: [http://portal.hud.gov/hudportal/documents/huddoc?id=PIH-2016-21.pdf](http://portal.hud.gov/hudportal/documents/huddoc?id=PIH-2016-21.pdf)) provides information on editing this section. PHA users may update the work sub-categories that were selected upon creation of the Work Activity in the 5-Year Action Plan. It is permissible to check or un-check sub-categories to reflect a change in the scope of a work activity; for example, if an approved work activity originally included “Roofs”, “Gutters - Downspouts”, and “Soffits”, the user may un-check the sub-category for “Gutters - Downspouts” during the creation of the Budget to reflect a reduction in the scope of the work. However, users may not check or un-check work sub-categories if the changes would be inconsistent with the description of the approved work activity; for example, for
a roof replacement work activity, a PHA may not un-check “Roofs, “Gutters - Downspouts”, and “Soffits” and check “Exterior Lighting”. In this latter case, the user would need to return to the 5YAP to add or edit work activities and receive Field Office approval before adding the work items to a Budget.

➢ Other Measures: Users may select the option to expand the Other Measures section. In this section, users may enter information on whether the work item has accessible features built in, security costs, energy/water conservation components, or lead based paint components. In accordance with PIH Notice 2016-21 (see: http://portal.hud.gov/hudportal/documents/huddoc?id=PIH-2016-21.pdf), this section is not mandatory at this time.

<table>
<thead>
<tr>
<th>Other Measures</th>
<th>(Click to Expand)</th>
</tr>
</thead>
<tbody>
<tr>
<td>10. Other Measures:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Other Measure Detail</td>
</tr>
<tr>
<td></td>
<td>☐ Section 504/other accessibility measure</td>
</tr>
<tr>
<td></td>
<td>☐ Security - Hard Costs</td>
</tr>
<tr>
<td></td>
<td>☐ Security - Soft Costs</td>
</tr>
<tr>
<td></td>
<td>☐ energy/water conservation measure</td>
</tr>
<tr>
<td></td>
<td>☐ lead based paint related measure</td>
</tr>
</tbody>
</table>

**Figure 44: Edit Work Activities in Annual Statement/Budget – Expanded View of Other Measures**

### 3.5 Submit Report

Once the Budget has been linked to a grant award, and the Piggy Bank balances out (i.e., Annual Statement/Budget Amount is equal to Work Activity Planned Amount and Balance is $0.00), a Submit Report button will appear at the bottom of the Activity List for Annual Statement/Budget Page. The Piggy Bank also shows the BLI amounts, Percentages and Maximum Allowable Amounts (where applicable). The user may then select Submit Report to submit the Budget to HUD.
Upon selecting “Submit Report”, the user will receive a popup message.

Message from webpage

This will lock this statement. Are you sure?

OK  Cancel

Upon selecting OK, the user will either be directed to the Annual Statements/Budget List page for the grant award and the Budget will be displayed with a lock icon and a status of “Submitted” if there were no errors.
If not, the user will receive errors at this point. These must be corrected before proceeding. The error message will contain details of what items need correcting.

Once the Budget is successfully submitted, users may select the Budget link in the table to return to the Activity List for Annual Statement/Budget Page. For submitted reports, the information is Read-Only.
Within a few days of the Budget submission in EPIC, the Budget will spread in ELOCCS. PHA Executive Director should receive an email notification confirming the Budget submission.

3.6 Revise a Budget/Annual Statement Report

From the *Annual Statements/Budget List* page for the grant award, the user may select the appropriate link in the Options column of the table to view a PDF or Excel File of the Budget, Revise a Budget, Create a New P&E Report or Mark a Budget as Final.

Once a PHA has submitted a Budget in EPIC, PHA users may determine that they need to revise the Budget. These revisions may be prompted by a change in the PHA’s plans.

When a user revises a submitted Budget, a copy of the submitted Budget is created as the latest version. The revised report will be marked with a revision number.
Some types of changes that need to be made to a Budget also requiring revising the 5YAP, while other types of changes do not require this additional step. Users should refer to the lists below to determine whether the changes they wish to make to a Budget are likely to also require revising the 5YAP.

- **Changes to Budgets that do NOT require revising the 5-Year Action Plan:**
  - Changing the amounts for work activities
  - Adding approved work activities to the budget
  - Removing work activities from the budget
  - Checking or un-checking sub-categories to reflect a change in the scope of the work; for example, if an approved work activity originally included “Roofs”, “Gutters - Downspouts”, and “Soffits”, the PHA may un-check the sub-category for “Gutters - Downspouts” in the budget. However, if the changes would be inconsistent with the description of the approved work activity, the PHA would need to make the revisions in the 5-Year Action Plan and obtain Field Office approval before adding the work activity to the budget; for example, for a roof replacement work activity, a PHA wishing to un-check “Roofs, “Gutters - Downspouts”, and “Soffits” and check “Exterior Lighting” would need to return to the 5-Year Action Plan.

- **Changes to Budgets that DO require revising the 5-Year Action Plan:**
  - Changing the Work Category associated with a work activity, which is necessary to change the BLI associated with an activity. For example, changing a work activity to reflect the assignment of funds to BLI 9002 instead of BLI 9000.
  - Changing the number of Work Categories associated with an activity. For example, changing a work activity that includes Work Categories under BLI 1410 and 1480 to only include Work Categories associated with BLI 1480. (Note that changes to the Work Activity Sub-Categories to reflect a change in the scope of a work activity do not require revising the 5-Year Action Plan, provided the changes are consistent with the description of the work activity.)
  - Changing the development number associated with a work activity
  - Adding work activities to the budget that are not yet approved in a 5-Year Action Plan
3.7 Marking a Budget as Final

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.

![Annual Statements/Budget List – Mark Budget as Final](image)

3.8 Performance and Evaluation Report and Lead-Based Paint Measures

PHAs that have an approved 5-Year Action Plan and that have submitted an Annual Statement/Budget can create a Performance & Evaluation (P&E) Report in EPIC. PHAs with Lead-Based Paint Capital Fund grants may be required to submit a P&E Report for these grants on an annual basis. Field Office staff may also require submission of P&E Reports throughout the lifecycle of a grant award by PHAs as part of risk-based monitoring and portfolio management Field Office staff will notify PHAs in this category.

The P&E Report functionality in EPIC is similar to the Budget Revision functionality but collects additional information. This additional information may assist HUD staff in conducting grant closeout and annual risk-based monitoring activities.

The P&E Report will be based on the most recently submitted Budget or Budget Revision for the grant award. If PHAs have made any significant changes that would affect the most recent Budget, they must submit an Annual Statement/Budget Revision first before creating a new P&E report.

1. If you are reporting on a Lead-Based Paint Capital Fund grant, you must have a separate Budget in which you report specifically on that separate award. Awards for Lead Based Paint will have a slightly different number than a regular Capital Fund grant, typically, they contain an L in the grant number. Follow the steps above for creating a Budget and attaching it to an award then follow the instructions and then add the details outlined in step 4 below.
2. Your Budget must include the Lead-Based Paint related measures before you can create a P&E Report. If you are not reporting on a Lead-Based Paint Capital Fund grant; and your work under the grant does not include any Section 505/accessibility measures, energy/water conservation measures, or lead-based paint related measures; or the previously-submitted Lead-Based Paint Budget is current you may skip ahead to Step 8.

3. If you selected “Revise Statement” in order to reflect significant changes, you will see a Draft Annual Statement/Budget Revision appear; you should select the Edit Statement link next to the new Annual Statement/Budget Revision. If you selected Edit Statement in the step above, proceed.

4. Select each work activity one at a time. Upon selecting the link on the Work Activity name, you will be directed to the Work Activity Details page; on that page, click to expand the Other Measures section.

Figure 52: Draft Budget on List Page (AS2)
Energy and Performance Information Center

Figure 53: Activity List for Annual Statement/Budget (AS3)
5. Complete the “Other Measures” section by checking the box to the left of each appropriate category and entering the estimated cost. Then, click “Save”.

**Figure 54: Work Activity Details Page (AS4)**
6. Repeat Steps 5 and 6, above, for each work activity. Once you have completed the “Other Measures” section for each work activity and made any other necessary updates to the Annual Statement/Budget, select the Submit Report button to submit the Annual Statement/Budget or Annual/Statement/Budget Revision. You will receive a warning message indicating that this action will lock the statement; click “OK”.

7. Select the Create New P&E Report link. (If your agency has not yet submitted an Annual Statement/Budget for the grant, you will not see the Create New P&E Report link; submitting a Budget must be completed before creation of a P&E Report.)
8. You will be presented with an informational message asking you to confirm whether you would like to proceed further and create a P&E Report. Select Create P&E Report.
9. In the drop-down box, select the Fiscal Year on which you are reporting. One by one, select the Edit Activity Details link next to each of the work activities that were executed during the fiscal year and follow the instructions below to provide the necessary information. You should report for all work activities that were executed during the fiscal year.

Figure 57: Confirm P&E Report Creation (PE7)

10. Upon selecting the Edit Activity Details link for a work activity, the Work Activity Information screen will display. Enter the amount of funds obligated, the amount of
funds expended, the actual cost, and the status of work performed. These amount should match what has been reported in LOCCS at the time of your submission. Then, select Next.

**Figure 59: Work Activity Information Page (PE2)**

11. On the *Other Measures Information* page, please identify how much of the amount of the work activity was used to perform lead-based paint related measures and other measures by entering the *Obligated Cost* and *Expended Cost*. The *Estimated Cost* is populated based on the prior Annual Statement/Budget or Annual Statement/Budget Revision. After you have entered the necessary information, select Next.
12. Select “Manage Installation Items by Dev” to identify the units within the development where the work was executed and to enter the quantity of work performed.
Figure 61: Installation By Development/AMP (PE5)

13. As appropriate, report information on the quantity of work performed and affected developments. Then, select “Save Selections”.
14. Confirm the information submitted for the work activity – funds obligated, funds expended, and units where work was performed. Then, select “Save”. Repeat the process outlined in the steps above to report on all work activities that were executed during the fiscal year.

15. PHAs will have an option to mark a P&E Report as “Final” in EPIC if the amount left to be expended does not exceed $500 and all awarded funds are recorded as obligated. If the P&E Report is being used to support grant closeout, the PHA must mark the P&E Report as “Final”.

**Figure 62: Installation Information for Development/AMP (PE6)**
16. You can either “Save Report” which will place it in a draft status, making it available for future editing, or “Submit Report” which will lock the P&E. **NOTE: EPIC does not notify the Field Office of submissions of P&E Reports; PHAs should always send an email to FO representatives informing them of their EPIC P&E Report submission.**

4.0 **HUD FIELD OFFICE ROLES AND RESPONSIBILITIES WITHIN EPIC**

Field Office Staff members review submissions and Recommend Approval or Recommend Approval Withheld for a submitted 5YAP Report, Unsubmit Budgets and Unmark Budgets as Final. Field Office Directors, and their designees can Approve or Reject 5YAPs. Field Offices can also review P & E Reports directly in EPIC.
4.1 Field Office Review of 5YAP

Upon logging in to EPIC, the Field Office user navigates to the Dashboard tab and selects 5-Year Action Plan – Tracking under Dashboard Functions. PHA users will not see this “Dashboard” tab displayed, as this functionality is reserved for HUD users.

The Field Office user is then directed to the 5 Year Action Plan – Tracking Dashboard page. The Field Office user may select the Search by PHA Code link to search for the 5YAP of a particular PHA. Alternatively, the Field Office User may use the options on this page to select the Field Office or make other selections. In addition, the Field Office user may choose to filter the list to display only 5YAPs in a certain status. Upon locating a 5YAP, the Field Office user may select the View link to view the 5YAP.
When viewing a 5YAP, Field Office users will be able to select work activities to view the details of each item. In addition, Field Office users will be able to select the View Work Activity Log icon next to work activities to see information on their history. Field Office users may not add or edit work items or funge work items between years.

Field Office users will see options displayed to add comments. The View/Add Comment link facilitates communications between HUD and the PHA; comments entered via this link are sent to the PHA. The Internal Comments link facilitates communication within HUD, between HUD staff.

Field Office users will see links displayed on the Activities List page to Recommend Approval or Recommend Approval Withheld. Refer to PIH Notice 2016-21 (see: http://portal.hud.gov/hudportal/documents/huddoc?id=PIH-2016-21.pdf) for guidance on HUD review and approval of 5YAPs in EPIC.
Upon selecting the **Recommend Approval** or **Recommend Approval Withheld** button, a Field Office user will see a screen displayed on which to confirm the action and enter comments. Field Office users are required to enter a comment when recommending that the FO Director withhold approval of a 5-Year Action Plan.

---

**Figure 66: View of Activities List Page for Field Office Staff**
Field Office Directors are authorized to approve or withhold approval for 5YAPs. The Field Office Director logs into EPIC and navigates to the 5YAP by using the Dashboard functionality as described above. When viewing a 5YAP, the recommendation by Field Office staff is displayed just above the Approve/Approval Withheld buttons.

If approval is withheld, the Field Office Director will be required to enter a comment. The 5YAP will then become unlocked so that the PHA can fix the problem in the 5YAP and resubmit it to HUD for approval.
A Field Office user can Create a New 5 Year Action Plan, even if there is one already in place. This should only be used on rare occasions when there is no alternative.

**5YAP1 > 5-Year Action Plan Reporting**

![Image of 5YAP1 reporting page]

*Figure 69: FO User Options on 5YAP Reporting Page*

### 4.2 Field Office Role in Annual Budget Reporting

Field Office users do not review or approve Budgets. Once a Budget is successfully submitted it will be loaded into ELOCCS within a few business days. However, a Field Office user can Unsubmit a Budget, which sets it back to draft, if a PHA has made a mistake and would like to make changes and resubmit. Under *Activity Planning, Annual Statement/Budget* Screen the Field Office selects the year and clicks on the *View Statements* Link. On the AS2 Screen the option to *Unsubmit* appears next the last submitted statement, so long as no other draft exists.

![Image of AS2 screening page]

*Figure 70: FO User Option to Unsubmit a Budget on the AS2 Page*
Field Office Users can also Unmark a Budget as Final, if a PHA accidentally checks that button.

Figure 71: FO User Option to Unmark a Budget as Final on AS2 Page
5.0 APPENDICES

5.1 Acronyms

Table 1 below provides definitions and explanations for terms and acronyms relevant to the content presented within this document.

**Table 1: Appendix A – Acronyms**

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<th>Acronym</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>APM</td>
<td>Activity Planning Module (of EPIC)</td>
</tr>
<tr>
<td>BLI</td>
<td>Budget Line Item</td>
</tr>
<tr>
<td>EPIC</td>
<td>Energy and Performance Information Center</td>
</tr>
<tr>
<td>FO</td>
<td>Field Office</td>
</tr>
<tr>
<td>FYE</td>
<td>Fiscal Year End</td>
</tr>
<tr>
<td>HUD</td>
<td>U.S. Department of Housing and Urban Development</td>
</tr>
<tr>
<td>LOCCS</td>
<td>Line of Credit Control System</td>
</tr>
<tr>
<td>P&amp;E</td>
<td>Performance and Evaluation</td>
</tr>
<tr>
<td>PHA</td>
<td>Public Housing Authority</td>
</tr>
<tr>
<td>PIH</td>
<td>Public and Indian Housing</td>
</tr>
<tr>
<td>5YAP</td>
<td>5-Year Action Plan</td>
</tr>
<tr>
<td>PNA</td>
<td>Physical Needs Assessment</td>
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5.3 5 YEAR ACTION PLAN TYPE AND STARTING YEAR SUBMISSION TIMELINES

The 5-Year Action Plan starting year is the first year of the five-year period covered by the plan. PHAs should submit plans for each span of years based on the suggested timeline below to provide time for field office review and approval and timely access to capital funds.

- **Fixed Plan** – Covers a static, five-year period. At the conclusion of this period, a new plan is created covering the next five-year period. Fixed plans should not have any overlapping years.
- **Rolling Plan** – Covers a rolling, five-year period. Annually a new plan is created, removing the oldest year and adding on an additional year.

PHAs elect to create either a “Fixed” or “Rolling” 5-Year Action Plan and may change their election at the end of a 5-Year Action Plan reporting period. For example, a PHA currently operating under a Fixed Plan may shift to a Rolling Plan with its next submission as long as the PHA continues to cover 5 years within the plan, including the current year. Small PHAs should refer to part iii below for a discussion of the different flexibilities afforded under Fixed and Rolling Plans.

**FIXED 5-YEAR ACTION PLANS: EPIC Submission Requirements**

- **Fixed Plans** – PHAs operating under fixed plans should consider whether their latest existing, approved 5-Year Action Plan in EPIC covers the next fiscal year of CFP awards. If so, the PHA need not take any action in EPIC in advance of the PHA’s FYE or the date capital funds are awarded and made available. HUD encourages submission of a 5YAP for the next five-year time-period by the PHA’s FYE or the CFP award date (whichever comes first).

- For example, a PHA with an approved, Fixed 2016-2020 5YAP in EPIC need not take any action in advance of the issuance of FY 2020 CFP awards. However, by the date FY 2021 CFP funds are awarded or the PHA’s FYE (e.g., 12/31/2020, 3/31/2021, 6/30/2021, or 9/30/2021), the PHA should have submitted a 2021-2025 Fixed 5YAP in EPIC.

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2 Please note, however, that PHAs may still be required to submit various certifications to HUD, as detailed at 24 CFR 905.300(b)(1)(v)(B)(2). EPIC’s Activity Planning Module does not automate these certifications, and PHAs must continue to submit these certifications as prescribed by HUD under current or future guidance. For further information, please see the annual processing guidance posted on the Office of Capital Improvements Web page at: https://www.hud.gov/program_offices/public_indian_housing/programs/ph/capfund
ROLLING PLAN 5-YEAR ACTION PLANS: EPIC Submission Requirements

➢ PHAs operating under Rolling 5-Year Action Plans must submit 5-Year Action Plans annually, adding one year to the start year. HUD encourages submission of a the 5-Year Action Plan by the PHA’s FYE (i.e., 12/31/2019, 3/31/2020, 6/30/2020, or 9/30/2020) or the award date for CFP awards (whichever comes first). This same guidance applies in subsequent years.

5.4 Reporting on Non-Formula Capital Fund Grants

➢ PHAs that receive extra CFP funds awarded through successful application to a Notice of Funding Opportunity (NOFO), such as Lead Based Paint grants, or Housing Related Hazard grants, in addition to awards for Emergency Safety and Security grants should add the amounts awarded to the appropriate year of source funds awarded. This may not be the same as the year the funds were awarded. For example, if the award was made in 2020, but the funding source is 2019, the PHA should add the grant amount to their 2019 funding estimates.

➢ To report activities for an approved grant application such as an Emergency and Disaster Grant, the PHA will first need to create new work activities and add the activities to the applicable 5YAP.
  ○ For example, if the grant was awarded with 2020 funds, the activities should be added to the Rolling 5YAP plan that begins with 2020 or the Fixed 5YAP that includes 2020.

➢ Once those activities are approved by the Field Office, the PHA will then create a new Budget for the specific grant and associate the Budget to the grant in the same way a PHA would do if it were a regular CFP grant. This means the PHA will end up with 2 (or more) Budgets for the same year each tied to the same 5YAP one for the regular CFP grant and one for any other award.

➢ EPIC will not populate an error message for this scenario as it will recognize that these are two separate awards with different award numbers.
We recommend that PHAs converting properties to RAD use the following process in EPIC:

**Before closing:**

When a PHA is anticipating closing on RAD during one of the years covered by an EPIC 5-Year Action Plan, they should include separate work activities for each of the relevant RAD related work categories:

In EPIC Activity Planning-5 Year Action Plan: Edit/Revise appropriate 5YAPs with work activities for RAD Pre-closing (1480) and any relevant RAD BLI (1503, 1504, 1505) in consultation with RAD Office and submit for approval.

i. BLI 1480 should be used if the RAD closing will not occur in the next 6 months.

ii. PHAs place Capital Funds into BLI 1503 for use as Housing Assistance Payments during the year of the RAD conversion since the Section 8 conversion does not take effect until January 1 of the following year.

iii. PHAs place Capital Funds into BLI 1504 for use as a source in the RAD conversion---to cover hard cost of construction, soft costs, and/or reserves.
iv. BLIs place Capital Funds into BLI 1505 when they have removed units from PIC for a RAD transaction that is not expected to close for several years, and they want to set aside the Capital Funds for that transaction.

1. The money should be allocated to the RAD Funds Pre-Closing work activity in the 5YAP, but the other relevant work activities should be entered with $1.00 as place holders. The 5YAP is approved with the multiple work activities (the *Piggy Bank* may be slightly out of balance-this is OK).

2. The PHA should submit an Annual Statement/Budget that includes the RAD Pre-Closing work activity, but not the other two placeholder RAD work activities.

**At/after closing:**

In EPIC Activity Planning- Annual Statement/Budget: Create or revise a Budget for the applicable CFP grant year importing the appropriate BLI depending on where in the transaction cycle the deal is.

3. Recap office will re-spread the BLIs in LOCCS by moving money from 1480 to either RAD (1503) and/or RAD Investment Activity (1504) based on the approved RAD financing plan. The RAD Office is solely responsible for moving funds in LOCCs onto RAD BLIs.

4. At this point LOCCS and EPIC will be out of synch. To get back in synch, the PHA will need to revise the Annual Statement/Budget that will match what the Recap office has done in LOCCS. It should import the relevant placeholder RAD work activities into the revised Annual Statement/Budget and remove the *Pre-Closing 1480 Work Activity*. The PHA should then submit the revised Annual Statement/Budget that reflects the status of the funding after closing as it is reflected in LOCCS.

**Post Closing:**

If a PHA will be awarded CFP after a RAD transaction has closed, the PHA may create work activities in their 5YAP for eligible close-out expenses. The PHA will then submit a Budget using the eligible post-closing work items and submit to be spread in EPIC.

***5.6 Reporting on Operating Fund Grants***

Notice 2016-18 Outlines the steps to use Operating Fund Grants for Capital Fund Purposes.