



U. S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

CAPITAL FUND GUIDEBOOK TRAINING



THE ENERGY AND PERFORMANCE INFORMATION CENTER (EPIC)

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EPIC PRESENTER

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Office of Public Housing
Investments
- Emily Haeckel, Management
Information Specialist, Office of
Capital Improvements



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AGENDA

- EPIC Overview
- Document Management Center
- CFP Five-Year Plan
- Creating and Revising an Annual Budget
- Reporting on Non-Formula Capital Funds, RAD and
Debt Service
- Grant Close-out and Creating and Submitting
Performance & Evaluation Reports
- User Administration

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NOTE: Video and slides may differ slightly ,however the HUD guidance is consistent and these are the most current version of the slides.



WHAT IS EPIC?


- HUD's Energy and Performance Information Center
- Modules Include:
 - Activity Planning Module: [5 Year Action Plan and Annual Statement/Budget](#)
 - [User and Group Tools](#)
 - Core Activity Energy Module



https://portalapps.hud.gov/app_epic/

Note: Users will also see the EPC and Development of New Housing but those are not currently active. The PNA tab allows PHAs to download their PIC data.


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RELEASE 7 SUMMARY

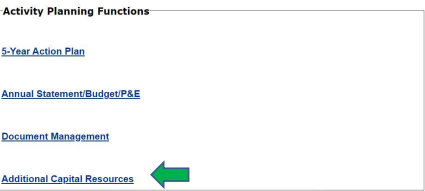
- New Features:
 - Additional Capital Resources
 - Monitoring and Close-Out Packages
- New Look:
 - Increased Visibility of Action Buttons
- Screen shots in this presentation are from Release 7

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NEW ADDITIONAL CAPITAL RESOURCES

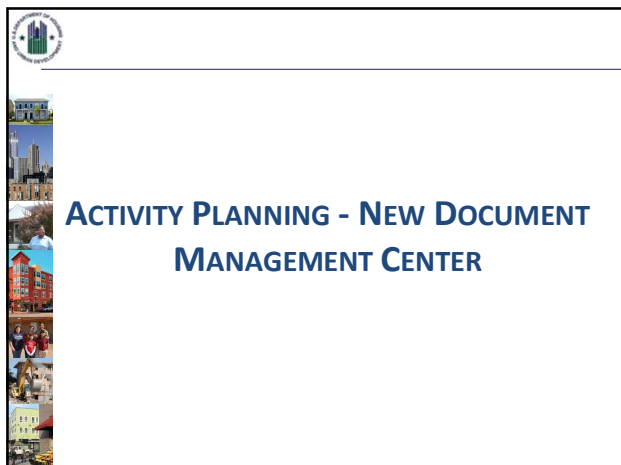
- Release 7 adds a feature that allows PHAs to report on non-CFP Grants used for CFP eligible activities in EPIC.
- This release is limited to Operating Subsidy Grants, but future releases will accommodate other funding streams.



It appears as the fourth link under Activity Planning.

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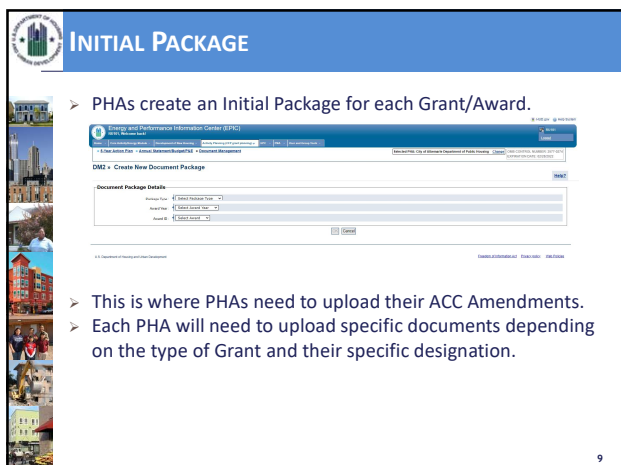
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HUD REVIEW OF PACKAGES

- The Field Office will review the PHA package to ensure compliance with submission requirements for each Award type.
- The Capital Fund formula Grant that is detailed in the Processing Guidance for each year. For other Capital Fund Grants PHAs should refer to the specific guidance that accompanies their ACC Amendment.
- Field Offices Accept or Reject each package for formula grants. HQ is reviewing those for non-formula grants.



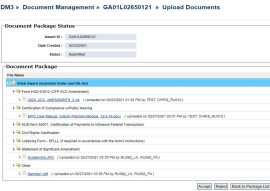
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LIST OF DOCUMENTS FOR CONTRACTING GRANTS


1. Initial Award

- a. ACC Amendment
- b. Required Certifications:
 - i. Statement of Significant Amendment
 - ii. A statement certifying that the PHA conducted a public hearing in compliance with 24 CFR Part 905, signed and dated by the executive director.
 - iii. HUD form 50071, Certification of Payments to Influence Federal Transactions
 - iv. Civil Rights Certification
 - v. Lobbying Form – SFLL (if required in accordance with the form's instructions)
 - vi. Other (e.g. MTW Agreement)







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REMEMBER TO.....


- Go to the Document Log to see why a document may have been returned. [View Logs](#)
 - Because it wasn't signed?
 - The correct ACC boxes weren't checked?
 - The forms submitted have expired?





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NEW PACKAGE TYPES

These package types are available in Release 7

- Monitoring**
 - Environmental Review(s)
 - Certifications related to SYAP Revisions that qualify as Significant Amendment
 - Other
- Closeout**
 - Actual Development Cost Certificate (ADCC) or Actual Modernization Cost Certificate (AMCC)
 - Signed Final Budget and/or P & E
 - Other



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QUESTIONS






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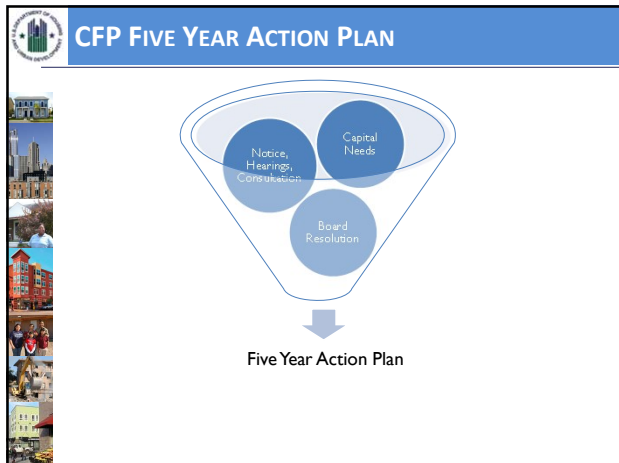


ACTIVITY PLANNING - CFP FIVE-YEAR ACTION PLAN



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5-YEAR ACTION PLAN – WHERE TO BEGIN?

Step 1: Beginning a Plan

- From the 5-Year Action Plan Reporting Homepage, PHAs use the copy forward icon under Options to create the next 5-Year Plan using the last approved 5YAP.
- The user will select a Fixed Plan or Rolling Plan
Note: EPIC defaults to Rolling (Radio Button)
1. Type of Plan: ☐ Fixed Plan ☒ Rolling Plan
 - A Fixed Plan covers 5 static years
 - A Rolling Plan is updated every year
- The system will prompt a funding estimate for the next 5 years.

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5-YEAR ACTION PLAN WORK ACTIVITIES

Step 2: Adding Work Activities

- The Create New Activity button at the bottom of the screen adds a new work item.
- The Edit icon allows editing of an existing work item.
- The Clone icon makes a copy of an existing work item.
- The Delete icon removes an existing work item.
- Click the checkbox for "quick edits" to a work activity such as "rescheduling."

☐ Edit Work Activity
☐ Clone Work Activity
☒ Delete Work Activity
☐ View Work Activity Log

Create New Work Activity

Year	Identifier	Development/AMP	Activity	Amount
<input checked="" type="checkbox"/> 2022	100624	SITE	Site Upgrades	\$45,359.27

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WORK ACTIVITY DETAILS

Step 3: Work Activity Details

➤ Either action navigates users to the Work Activity Details page, which contains 4 sections:

- Work Activity Information
- Affected Developments/AMPs
- Component Categories from PNA (not operational)
- Work Categories

➤ **The First Section is important. Here the user enters the:**

- Title
- Description
- Force Account Y/N
- Projected Year
- Amount

3. Force Account: ☐ Yes ☒ No

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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
OPIH No. 2575-0157
Page No. 331-2030

Part 1. Summary

PHS Name: _____ Date of Issue: _____
PHS Type and Number: _____
Capital Fund Program Name No: _____
Replacement Housing Factor Value No: _____
Date of Issue: _____

Page 1 of 20

Form HUD-50075 (07/2014)

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5-YEAR ACTION PLAN APPROVAL

➤ Once the SYAP is finalized the PHA will submit it for Approval.

➤ Approval can be:

- Field Office Approval/EPIC System Approval
- System Approval

Five Year Action Plan

PHA	Plan	Type	Created Date	Last Modified	Report Year	Status	Submitted On	Approved On	Options	
GA001	5-Year Action Plan for 2020-2024 Rev. 2.0 (01/1/2021)	Rolling	06/07/2020	06/07/2020	2020-2024	Approved	06/07/2020	EPIC SYSTEM	06/07/2020	
GA001	5-Year Action Plan for 2020-2024 Rev. 2.0 (01/1/2021)	Rolling	06/07/2020	06/07/2020	2020-2024	Approved	06/07/2020	EPIC SYSTEM	06/07/2020	
GA001	5-Year Action Plan for 2020-2024 Rev. 2.0 (01/1/2021)	Rolling	06/07/2020	06/07/2020	2020-2024	Approved	06/07/2020	EPIC SYSTEM	06/07/2020	
GA001	5-Year Action Plan for 2020-2024 Rev. 2.0 (01/1/2021)	Rolling	06/07/2020	06/07/2020	2020-2024	Approved	06/07/2020	EPIC SYSTEM	06/07/2020	
GA001	5-Year Action Plan for 2020-2024 Rev. 2.0 (01/1/2021)	Rolling	06/07/2020	06/07/2020	2020-2024	Approved	06/07/2020	EPIC SYSTEM	06/07/2020	
GA001	5-Year Action Plan for 2020-2024 Rev. 2.0 (01/1/2021)	Rolling	06/07/2020	06/07/2020	2020-2024	Approved	06/07/2020	EPIC SYSTEM	06/07/2020	
GA001	5-Year Action Plan for 2020-2024 Rev. 2.0 (01/1/2021)	Rolling	06/07/2020	06/07/2020	2020-2024	Approved	06/07/2020	EPIC SYSTEM	06/07/2020	
GA001	5-Year Action Plan for 2020-2024 Rev. 2.0 (01/1/2021)	Rolling	06/07/2020	06/07/2020	2020-2024	Approved	06/07/2020	EPIC SYSTEM	06/07/2020	
GA001	5-Year Action Plan for 2020-2024 Rev. 2.0 (01/1/2021)	Rolling	06/07/2020	06/07/2020	2020-2024	Approved	06/07/2020	EPIC SYSTEM	06/07/2020	
GA001	5-Year Action Plan for 2020-2024 Rev. 2.0 (01/1/2021)	Rolling	06/07/2020	06/07/2020	2020-2024	Approved	06/07/2020	EPIC SYSTEM	06/07/2020	

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5YAP DETAILS PAGE: EDITING A PLAN

- Unless the Plan is currently being reviewed (Submitted/Under Review) the Plan can be edited.
- PHAs can Edit, Clone or Delete Work Activities.
- Certain changes trigger Revisions, while others do not.
- PHAs can also Funge or reschedule items on this page.
- Estimated Funding Amounts and Fixed vs. Rolling can also be edited from

[illegible]

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How Do BUDGETS RELATE TO THE 5YAP?

5-Year Action Plan

Annual Stmt/ Budget-Formula

Year	Identifier	Desc/MP	Activity	Amount
2021	010061	STRILING THINGS EAST & WEST (LAWYERS)	Interior Unit Renovations	\$3,500.00
2021	010062	STRILING THINGS EAST & WEST (LAWYERS)	Exterior Unit Renovations	\$1,500.00
2021	010064	SCAFFOLDING STOPS (LAWYERS)	Carpentry	\$1,000.00
2021	010073	Not associated with any specific development	Paint and Coats	\$129,928.83
2021	010074	HARDENCO HOMES SOUTH (LAWYERS)	Concrete Repairs	\$3,000.00
2021	010075	HARDENCO HOMES SOUTH (LAWYERS)	Interior Unit Renovations	\$51,065.45
2021	010076	HARDENCO HOMES SOUTH (LAWYERS)	Exterior Unit Renovations	\$25,714.80
2021	010079	ROUSEMEYER SOUTH PHASE 2 (LAWYERS)	Interior Unit Renovations	\$33,458.43
2021	010081	ROUSEMEYER SOUTH PHASE 2 (LAWYERS)	Exterior Unit Renovations	\$4,212.36
2021	010081	ROUSEMEYER ROUSEMEYER/ROUSEMEYER/ROUSEMEYER SOUTH PHASE 2 (LAWYERS)	Exterior Doors	\$11,480.43
2021	010082	ROUSEMEYER ROUSEMEYER/ROUSEMEYER/ROUSEMEYER SOUTH PHASE 2 (LAWYERS)	Interior Unit Renovations	\$6,233.16
2021	010083	TRAT HOMES (LAWYERS)	Interior Unit Renovations	\$72,941.80

Work Activities

Identifier	Activity	Amount
010073	Paint and Coats	\$129,928.83
010074	Concrete Repairs	\$3,000.00
010075	Interior Unit Renovations	\$51,065.45
010076	Exterior Unit Renovations	\$25,714.80
010081	Exterior Doors	\$33,458.43
010082	Interior Unit Renovations	\$4,212.36

✔ Submitted Annual Statement/Budget (Cannot be Edited)
✘ Draft Annual Statement/Budget (Cannot be Edited)
✘ Approved Work Activity

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KNOWLEDGE CHECK: QUESTION #1

A PHA has a Rolling Plan for 2022-2027 and it is currently 2022. The PHA can now create and submit an Annual Budget for 2023.


True or False?

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KNOWLEDGE CHECK: QUESTION #2



The 5-Year Action Plan Piggybank does not need to balance at all times/under all circumstances.


True or False?

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QUESTIONS





ACTIVITY PLANNING - ANNUAL
STATEMENT AND BUDGET



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ANNUAL STATEMENT/BUDGET

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

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NEW INITIAL PACKAGE REQUIREMENT

➤ An “Accepted” Initial Package is necessary for PHA to be able to create a Budget or assign it to an Award.

➤ The PHA will get an error if there is no such Package.

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HOW DO BUDGETS RELATE TO THE 5YAP?

5-Year Action Plan for 2020-2024 (0/1) (0/1) Fixed

Year	ID	Title	Category
2020	ID0111	ROSS TOVERS (NY001000077)	Replace roofing systems
2020	ID0112	Not associated with any specific development	A & E New Administrative Office
2020	ID0135	JAMES GEDDES (NY001000073)	Ventilation system improvements
2021	ID0113	Not associated with any specific development	Operations
2021	ID0114	Not associated with any specific development	Management Improvement

Annual Statement/Budget Rev. 1

5 Year Action Plan for the 2020 - 2024

Annual Statement/Budget Information

1. Title: 2020 CFP Annual Plan

2. Fiscal Year End: 06/30

3. Fiscal Year: 2020

Grant/Award Information:

4. Award Number: NY06P00150120

5. Cost: \$5,711,550.00

Annual Statement/Budget Rev. 1

5 Year Action Plan for the 2020 - 2024

Annual Statement/Budget Information

1. Title: 2021 CFP Budget

2. Fiscal Year End: 06/30

3. Fiscal Year: 2021

Grant/Award Information:

4. Award Number: NY06P00150121

5. Cost: \$6,941,816.00

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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 such as a change to the BLI.

Some changes that DO require revising the 5-Year Action Plan:

- Changing the Work Category (BLI) with an activity.
- Changing the development number with a work activity
- Adding work activities not in an approved 5-Year Action Plan

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ANNUAL STATEMENT/BUDGET SPREAD

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

Annual Statement/Budget Information:

BLI Number	Budget Line Item	Cumulative Amount	Percentage	Maximum Allowable Amount
1400	Operations	\$5,000.00	3.90%	\$128,202.00
1410	Administration	\$20,000.00	15.60%	\$128,202.00
1480	General Capital Activity	\$73,657.99	57.61%	N/A
1509	Preparing for, Providing and Responding to Coronavirus (1509)	\$15,000.00	11.70%	\$15,000.00
9001	Bond Debt Obligation	\$31,634.01	24.68%	N/A

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SUCCESSFULLY SPREAD BUDGET IN ELOCCS


Once successful submission of budget it will be loaded into ELOCCS within a few business days.


Line Item (All)	(H)and/ (S)oft	Name	Authorized Amt.
2100	H	Reserved Budget	0.00
2406	H	Operations	50,000.00
1480	H	General Capital Activity	149,922.11
2000	H	Debt Reserves	0.00
2001	H	Bond Debt Obligation	43,862.89
Totals:			243,785.00

Once a PHA has finished making all budget revisions to their Budget and it reflects final expenditure items and amounts, mark as "Final." Now grant is ready for closeout. To do so the user selects the link under the Options Column. As a HUD user you will also have the option to Unmark the Budget as Final if the PHA makes a mistake.

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**KNOWLEDGE CHECK: QUESTION #3**





Once an Annual Statement/Budget is submitted a PHA may NOT make revisions.

True or False?

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**KNOWLEDGE CHECK: QUESTION #4**



For all grants obligated by HUD after 2/1/21 an initial document package is required.

True or False?

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**QUESTIONS**




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REPORTING ON NON-FORMULA CAPITAL FUNDS, RAD AND DEBT SERVICE

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REPORTING ON NON-FORMULA CAPITAL FUNDS

Go back to Plans Listing

Edit Plan Information


View PDF

Export Report

Year 2020	\$118,645.00
Year 2021	\$118,645.00
Year 2022	\$118,645.00
Year 2023	\$118,645.00
Year 2024	\$118,645.00

- Add the grant amount to the correct year funding estimates in the SYAP by Editing the Plan Information.
- To report activities for such a grant, first create new work activities and add the activities to the applicable SYAP (Revision).
 - For example, if the grant was awarded with 2020 funds, the activities should be added to the Rolling SYAP plan that begins with 2020 or the Fixed SYAP that includes 2020.
- Once those activities are approved by the Field Office, the PHA will then create a new Budget for this new Award/Grant.

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PROCESS FOR REPORTING ON NON-FORMULA CAPITAL FUNDS (LBP, HRH, EMERGENCY)

NOT-EPIC

SYAP-EPIC

PHA-EPIC

HQ-EPIC

HQ LOCCS and EPIC

- Signed ACC Amendment sent to PHA
- PHA signs and scans ACC Amendment

- PHA edits SYAP to cover Work Item for grant year of funding source (last 2 digits in award), e.g. Grant is 2020 PHAs add items to SYAP that covers 2020 (Rolling start year = 2020)
- PHA submits to FO/FO Approves


- PHA creates a package in EPIC
- PHA uploads signed ACC Amendment only

- HQ Scans for submitted packages for its review
- HQ Reviews and Accepts/Rejects Packages


- HQ scans accepted packages
- EPIC email to PHA to Create Budget

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REPORTING ON RAD AND DEBT SERVICE BLIS



- These BLI's funds are moved in LOCCS first and then Budgets in EPIC must be submitted to match.
- For Debt Service, the funds are placed onto the correct BLI by HUD HQ and then automatically disbursed via LOCCS.
- These allocations do not get moved until after the transaction has closed.
- PHAs need to submit "before" and "after" closing Budgets to reflect the BLI's in LOCCS.
- These before and after Work Activities also need to be in the 5YAP.


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CLOSE-OUT AND RELATED ACTIVITIES

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CLOSE-OUT ACTIVITIES



- PHA marks Budget "Final" which reflects final expenditures.
- If the Field Office or HQ requests, do a Performance & Evaluation Report (P&E Report).
- Actual Modernization Cost Certificate (AMCC)/ Actual Development Cost Certificate (ADCC), Other Close-Out related forms are submitted to the Field Office in EPIC by uploading them to the Document Management Center.

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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.
- If PHAs have made any significant changes that would affect the most recent Budget, they must submit a Budget Revision first before creating a new P&E report.

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

Statement	Plan Name	Created Date	Last Modified	Report Year	Status	Options
Annual Statement/Budget October	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

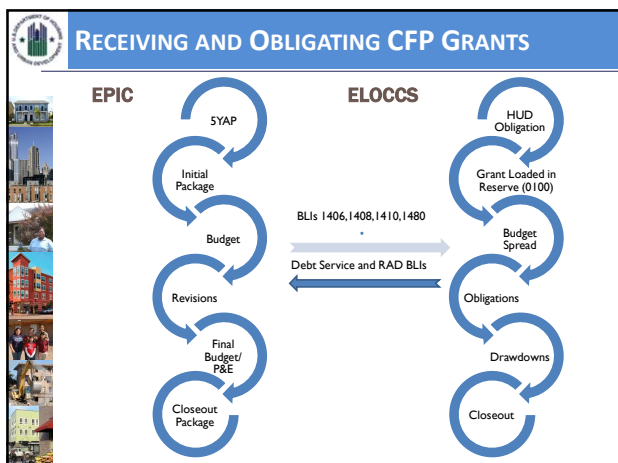
You cannot create a Budget Revision if there is a Draft P&E as it will block creating a new Budget while it is still in Draft form.

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WHEN IS A (P&E) REQUIRED?


- There is a difference between an Annual P&E and a Final P&E. In some cases one or both may be required.
- The decision to require a P&E is at HUD discretion. Depending on the Office responsible for the monitoring of the Grant that could be HUD HQ or the Field Office.
- For example, PHAs with Lead-Based Paint Capital Fund grants are required to submit a P&E Report for these grants.
- 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.


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**KNOWLEDGE CHECK: QUESTION #5**



You can not create a Budget Revision if there is still a draft P&E.

True or False?

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**QUESTIONS**






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USER ADMINISTRATION

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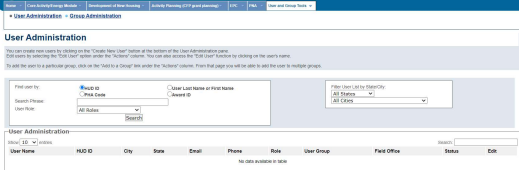
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EPIC ACCESS

- The Field Office is the first point of contact for EPIC Access.
- All PHA users can create new users within their PHA(s)
- If there is no PHA user established, they must contact their FO.
- There is a user guide for adding users on our website.



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QUESTIONS

For more information and help with EPIC, visit our [website](#) and please contact your Field Office.

Only after contacting your Field Office, if you need additional technical assistance email EPICHelp@HUD.GOV, but be sure to always copy your Field Office

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APPENDICES

DETAILS REGARDING RAD AND EPIC



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 	RAD BLIs			
	1480	1503	1504	1505
	RAD Pre-Closing	HAP	Source for RAD Conversion	For RAD conversion closing
	Used to set funds aside for a RAD transaction until the RAD deal is closed. PHAs cannot use 1406 as a parking lot for RAD.	PHAs place Capital Funds in this BLI for use as Housing Assistance Payments during the year of RAD conversion since the Section 8 conversion does not take effect until Jan. 1 of the following year.	Use this as a source for RAD conversion to cover hard cost of construction, soft costs and/or reserves.	For when a PHA has 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.

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STEPS TO REPORTING RAD TRANSACTIONS

Pre-Closing (1480)

1. SYAP: Create multiple work activities for RAD.
2. Pre-closing (1480) where the funding set aside for RAD.
3. Any relevant RAD BLI(s) (1503 and/or 1504) with \$1 Placeholders.
4. The SYAP is approved with the multiple work activities (the Piggy Bank may be slightly out of balance-this is OK).
5. Budgets should only contain RAD Pre-Closing work activity, not other placeholders.

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STEPS TO REPORTING RAD TRANSACTIONS, CONT.

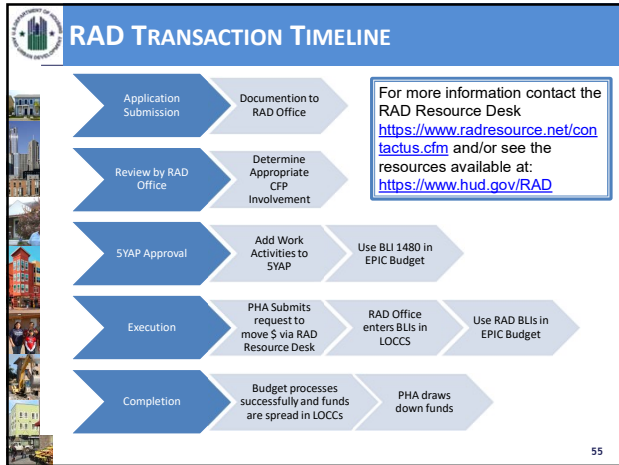
At/Post Closing (1503 or 1504)

1. 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.
2. 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*.

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