A Staff Report from the

NATIONAL ACADEMY OF PUBLIC ADMINISTRATION

for the Office of Community Planning and Development
U.S. Department of Housing and Urban Development

February 2005

INTEGRATING CDBG PERFORMANCE MEASURES INTO IDIS

NATIONAL ACADEMY OF PUBLIC ADMINISTRATION

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The information contained in this report was developed by Academy staff as a follow-on assessment to the Academy Panel report, Developing Performance Measures for the Community Development Block Grant Program.

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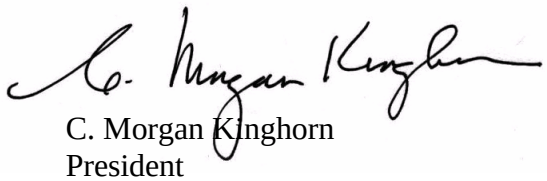
FOREWORD

The Community Development Block Grant program (CDBG), administered by the U.S. Department of Housing and Urban Development (HUD), awards funds to cities, counties and states on a formula-driven basis. States, in turn, award their share of funding to smaller units of government competitively. The program, budgeted at $4.3 billion on average for the past six years, provides wide discretion to entitlement communities and states as they undertake activities to develop viable communities through decent housing, suitable living environments and expanded economic opportunities for low- and moderate-income people.

HUD is in the process of re-engineering its Integrated Disbursement and Information System (IDIS), used by CDBG grantees to report accomplishment data under the program. HUD asked the Academy, as a subcontractor to QED, to offer suggestions for improving IDIS so that community and state performance measures could be electronically analyzed and reported. The Academy was pleased to undertake this technical assistance project. Academy staff, working with HUD's CDBG program, OMB, community development public interest groups, and state and local grantees, offer numerous suggestions that CDBG might consider adopting as it reworks its IDIS system.

I want to thank the project team for its excellent work on the project. I also thank HUD and OMB management and staff; community development public interest group leadership, especially the Council of State Community Development Directors, National Association of Development Organizations and National Community Development Association; and individual state and community development directors for their input and cooperation.



C. Morgan Kinghorn
President

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EXECUTIVE SUMMARY

The Community Development Block Grant program (CDBG), administered by the U.S. Department of Housing and Urban Development (HUD), was designed to assist states and viable communities in developing decent housing, suitable living environments and expanded economic opportunities primarily for low- and moderate-income people. CDBG awards funds to cities, counties and states on a formula-driven basis, with states then competitively awarding their share of the funding to smaller units of government. Annually budgeted at an average of $4.3 billion for the past six years, CDBG provides wide discretion to entitlement communities and states in the activities they undertake.

The National Academy of Public Administration (Academy) contracted with QED Group to develop a set of performance measures for the CDBG program. It was envisioned that the measures would comply with requirements of the Housing and Community Development Act of 1974, Government Performance and Results Act, President's Management Agenda and the Program Assessment Rating Tool administered by the U.S. Office of Management and Budget. Moreover, the measures would be intended to serve communities' and states' program management needs. The project panel overseeing the Academy work also developed a set of suggestions designed to improve HUD's management information system, the Integrated Disbursement and Information System (IDIS), so that entitlement communities and states could report performance measures accurately and effectively. Doing so can help to tell stories of the CDBG's positive impact and help to improve program management through goal attainment, transparency, efficiency and accountability.

Entitlement communities and states currently report performance data to HUD through IDIS while Community 2020, a companion system once considered innovative for planning and reporting purposes, has become technologically obsolete and seldom used. Neither system has worked well and past efforts to fix each one has failed or been executed in a piecemeal fashion. More recently, HUD has made significant progress in resolving shortcomings and promoting and supporting CDBG performance-based management. We commend HUD for these efforts and acknowledge the challenges this task presents for department staff, particularly the staff in the Office of Community Planning and Development (CPD), which administers CDBG, and grantees. In any case, we believe that a viable electronic reporting system is necessary to support performance-based management.

During the IDIS reengineering process, it is critical to understand the nature of past problems, efforts underway to correct them, and prospects or options for the future. We identified numerous obstacles during the course of this study. They include the following (see Chapter 1):

- It is time consuming and inefficient to input performance data into IDIS.
- IDIS promotes data input errors and omissions.
- Data manipulation for reporting purposes is limited and inflexible.
- IDIS does not allow full data transfer across systems, making data entry duplicative or redundant.
- It is costly and time consuming to modify IDIS and Community 2020.
- The IDIS system architecture is outmoded.
- Managers find IDIS difficult to use, and frustration abounds among HUD staff and grantees.

There appears to be considerable agreement among stakeholders—CPD and OMB staff, community development public interest groups, and state and entitlement community practitioners—about specific system shortcomings and ways to correct them in a reengineered IDIS. Indeed, CPD might consider the following in a reengineered IDIS (see Chapter 2):

- Accommodate multi-year project reporting.
- Reduce errors and omissions in data entry.
- Standardize performance measurement.
- Clarify activity beneficiaries.
- Expand coverage of accomplishments.
- Standardize state and entitlement community reporting.
- Select services delivered or beneficiaries served.
- Promote mechanisms that allow easy reporting of IDIS data.
- Eliminate narrative comments where possible.
- Report year end data.
- Prepare reports on grantees' behalf.
- Enter data into IDIS only once.
- Eliminate useless fields.
- Facilitate transfer of data across HUD and grantee systems.
- Facilitate connectivity across all HUD systems.
- Incorporate electronic signature capacity.
- Produce reports that are easily understandable to the general public.

Errors and omissions in data input and report production are commonplace in the federal government, especially for complicated management information systems with multiple users. Although these problems cannot be completely eliminated, they can be reduced. CPD is cleaning its data files so that the reengineered IDIS can begin to process data that yield more complete and accurate results. When undertaking these steps, we suggest that CPD pursue a four-pronged strategy (see Chapter 3):

- Continue to treat the reduction of errors and omissions as a high priority.
- Eliminate duplication across CPD's four block grant programs.
- Incorporate benchmark checks to flag errors.
- Expand field office audits of IDIS data entry by grantees.

IDIS currently uses a path structure to report accomplishments concerning project and activity beneficiaries. Grantees specify an activity and national objective, and IDIS then guides them through a set of computer screens that prompt them to report required data. We expect that the reengineered IDIS will operate similarly and suggest that it be expanded to include performance measurement. Specifically (see Chapter 4):

- Include non-CDBG project or activity funding sources.
- Maintain IDIS "accomplishments" as much as possible.
- Reduce narratives to coded responses and reduce written responses.
- Incorporate innovation and best practice reporting.
- Extend job creation/retention to three years beyond activity completion.

- Focus performance on HUD-wide administrative goals.
- Use the path framework to develop performance measurement.
- Create baseline data from the consolidated plan and other sources.
- Calculate benchmark data for entitlement communities and states.
- Adopt the working group performance measurement framework.[1]

[1] Through 2003-4, a working group—comprised of representatives from CPD, CDBG, OMB,. Grantees, and public interest groups—hammered out an agreement adopting a set of performance measures for which they would held accountable. We endorse this initiative. Nothing in this report is intended to contradict that effort.

CHAPTER ONE

INTRODUCTION

FINDINGS

We believe that HUD's electronic management information systems and databases previously have created frustration among stakeholders with respect to performance. Specifically, it identified the following problems:

- It is time consuming and inefficient to input performance data into IDIS.
- IDIS promotes data input errors and omissions.
- Data manipulation for reporting purposes is limited and inflexible.
- IDIS does not allow full data transfer across systems, making data duplicative or redundant.
- It is costly and time consuming to modify IDIS and Community 2020.
- IDIS system architecture is outmoded.
- Managers find IDIS difficult to use, and frustration abounds among HUD staff and grantees.

We commend HUD for its recent steps to clean its databases, upgrade and integrate performance measurement into IDIS, and improve performance measurement throughout its overall operations.

The National Academy of Public Administration (Academy), under a subcontract with QED Group, worked with the U.S. Department of Housing and Urban Development (HUD) to develop performance measures for the Community Development Block Grant program (CDBG). The work entailed extensive involvement with the department's Office of Community Planning and Development (CPD), which administers CDBG. The subcontract also called on the Academy to suggest ways to improve HUD's Integrated Disbursement and Information System (IDIS), a management information system through which entitlement communities and states report performance measures to HUD.

Box 1-1 lists the four tasks completed under the subcontract. The first task—the development of performance measures for CDBG—was completed and published as a separate report, Volume One, in October 2004.[2] The remaining three tasks are presented in the individual chapters of this report.

[2] This report may be accessed electronically at www.napawash.org under "publications."

BOX 1-1 TASKS FOR THE ACADEMY WORK
Task 1. Develop performance measures relevant to CDBG programmatic information that would allow an evaluation of the impact, effectiveness and efficiency of the CDBG program and activities at a national and grantee level.
Task 2. Provide suggestions to enhance or refine IDIS data to improve performance measurement capabilities.
Task 3. Provide suggestions to ensure data quality and validity relative to performance measures.
Task 4. Provide appropriate model to be utilized in IDIS to measure the impact of programmatic information.

Making meaningful improvements to performance measures cannot be accomplished without improving or accommodating the systems used to record and store the measures. To merely devise new and useful performance measures in the absence of an effective management information system is, at best, an exercise in wish list development. In the case of CDBG and HUD, performance measure improvements must be accompanied by IDIS improvements or adoption of another management information system. In this report, we elaborate on the general characteristics that a management information system should have to accommodate performance measures suggested in Volume One and produced by a working group convened for a related initiative.

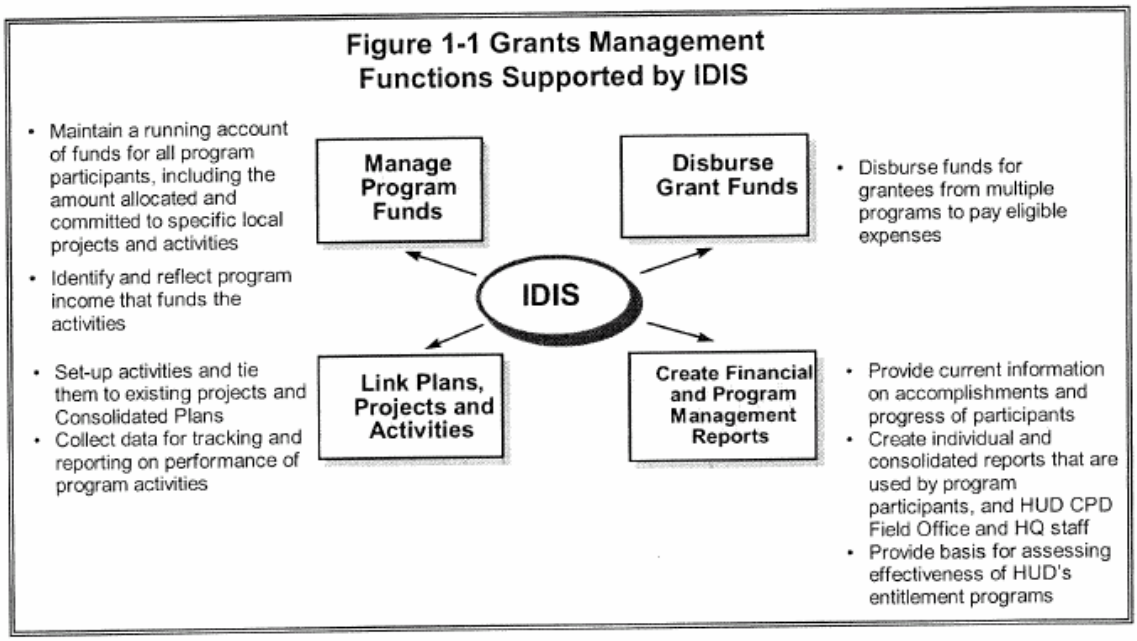
IDIS AND COMMUNITY 2020: BACKGROUND

Operational since February 1996, IDIS is intended to improve performance and accountability by collecting data and distributing funds, through LOCCS, for CDBG, HOME, ESG and HOPWA block grant programs. Its objectives are to: "(1) provide for monitoring grantee activities and accomplishments through a comprehensive set of reports; (2) provide sub-granting capability; (3) track grants by projects, activities and accomplishments; (4) allow for program income to be added to authorized amounts for drawdown purposes; and (5) strengthen data integrity."[3] CPD grantees are allowed to enter, maintain and report data that support their activities and to obtain funds disbursement. Designed to enable financial management, information reporting and performance monitoring, IDIS ideally should provide a foundation upon which grantee performance can be evaluated as it should include such core data as numbers of people served, jobs created and houses rehabilitated, in addition to beneficiary characteristics. Administrative data—such as account balances and drawing down funds—are maintained in the system, as well.

Box 1-2 illustrates the functions supported by IDIS.

[3] Office of Inspector General, HUD, *Audit Report: IDIS*, May 11, 2000.

BOX 1-2
IDIS GRANTS MANAGEMENT



Source: HUD, *IDIS Workbook.*

Until recently, Community 2020 software was employed in conjunction with preparation of consolidated plans and updates, annual performance reports and consolidated annual performance and evaluation reports. Entitlement communities and states may prepare and update plans and then report them to HUD. Community 2020 contained varied data that could be accessed, mapped and incorporated into planning documents. However, it now is inoperative because it will not work in recent versions of Microsoft Word.[4] In addition, it does not fully integrate with IDIS or grantee systems.

ANALYSIS

Any CDBG performance measurement system must take into account three separate but related reporting requirements: indicators that satisfy the Government Performance and Results Act (strategic plan, annual performance plan and performance and accountability report); accomplishments of entitlement communities and states through IDIS; and goals, objectives and performance indicators contained in the consolidated plan, annual performance report, consolidated

[4] HUD's plans to upgrade Community 2020 to be compatible with Windows 2000 are on hold as grantees and other parties interested in simplifying and improving the consolidated planning process are consulted. Once the review is complete, HUD expects to develop a web-based application to support implementation of the reformulated consolidated plan for 2005. In the meantime, grantees that want to continue using the software must keep the Windows 95 or 98 operating system activated on their computer for preparing consolidated plan tables and charts. *Community 2020*, www.hud.gov/offices/cio/c2020/index.cfm.

plan update and consolidated annual performance and evaluation report through HUD's Community 2020 system.

Although IDIS has improved as a data management tool, many stakeholder groups agree that shortcomings remain and present obstacles to effective performance measurement and program management. These include the following:

- IDIS is time consuming and inefficient to input performance data into IDIS.
- IDIS promotes data input errors and omissions.
- IDIS manipulation for reporting purposes is limited and inflexible.
- IDIS does not allow full data transfer across systems, making data duplicative or redundant.
- It is costly and time consuming to modifying IDIS and Community 2020.
- IDIS system architecture is outmoded.
- IDIS is difficult to use, and frustration abounds among HUD staff and grantees.

It is easy for grantees, CPD and HUD field offices to access data electronically. It is much more difficult to move data from grantee systems to IDIS. Once data are electronically transferred, it is often impossible, except by hand, to reassemble data for reporting purposes. In many cases, desired data may not be supported by any system allowing it to be reported and retrieved.[5]

Further, many performance data cannot be effectively or efficiently used to evaluate performance or manage programs. Past efforts to improve IDIS and Community 2020 have failed[6] or been executed piecemeal as a band aid solution. Now, HUD has several projects in place to rectify its reporting systems' shortcomings. IDIS is being redesigned to accommodate the needs of grantees, taxpayers, community organizations, stakeholders and CPD managers. We are aware that data reported in IDIS are being cleaned while Community 2020 is to be upgraded and interfaced with IDIS.[7] These steps should improve performance reporting and program management. At the same time, such success is predicated on implementation and technological issues that we are not able to anticipate.

The U.S. Government Accountability Office (GAO) criticized IDIS when it commented on HUD's Fiscal Year 2000 Budget request, stating, "Our recent work shows that IDIS as implemented does not provide detailed performance information. Also, because of its design, the information in IDIS is incomplete, inaccurate and untimely. Many states are apprehensive about using the problem-plagued system and plan to adopt it only if forced to do so by law."[8] At present, all states are on the system.

IDIS is sufficiently cumbersome and slow that some firms two-day instructional courses to communities on using the system.[9] Outsourcing IDIS is being offered as a service, as well.[10] Technical assistance is provided by several firms, one of which stated, "For some grantees, fear of IDIS can be a barrier to rapid expenditure of funds. We can increase staff comfort with IDIS and

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[5] See, for example, *BOSMAC*, www.hud.gov/offices/cpd/systems/idis/reporting/bosmac/index.cfm.
[6] Office of Inspector General, HUD, *Audit Report: Initial Development Efforts of the DGMS*, November 1999.
[7] Rather than upgrade Community 2020, HUD might explore adopting software programs already available in the marketplace, such as The Urban Institute's KnowledgePlex system.
[8] U.S. General Accounting Office, *Testimony Before the Subcommittee on Housing and Community Opportunity*, Committee on Banking and Financial Services House of Representatives. 1999 (GAO/T-RCED-99-104).
[9] See, as an example, www.success-results.com/IDISTraining/BasicCourse.html.
[10] See, as an example, http://www.success-results.com/IDISTraining/Outsourcing.html.

ensure they know how to use the IDIS system to monitor program expenditures and process payment requests."[11]

Further, a 2000 GAO report found, "…while IDIS was intended to allow HUD to track grantees' performance on a real time basis, it does not do so. IDIS does not require grantees to enter performance information before it releases grant funds to them.[12] Grantees can obtain all funds for an activity without entering any performance information about it, and most of the grantees we visited waited until the end of the program year to enter information, when the were required to complete annual reports. And, after grantees entered the performance information, they found that printing reports was difficult, requiring staff to work through a number of computer screens—as many as 70 at one field office we visited."[13]

IDIS continues to function less than optimally, operating in an environment where it has been modified numerous times to fix problems and expand functions. Yet improvements and enhancements never have been adequately funded.[14] According to HUD, the system has approximately 10,000 users. OMB's Fiscal Year 2004 Program Assessment Rating Tool PART assessment found that, "HUD has several problems with the accuracy of the data reported by grantees into IDIS, which makes analysis difficult."[15] Inquiries indicate that IDIS is not readily compatible with many information systems used by various jurisdictions across the nation. However, it is expected that a web-based system, envisioned as a replacement, will eliminate some technical incompatibilities.

According to the Massachusetts Institute of Technology's Sloan School of Management, the system's core activity is a basic distinction required for most management information systems. IDIS is a disbursement and tracking system that provides standard operations support. Adding performance measures increases its scope to include a decision support function. The two roles are quite separate, but could be interfaced.[16] IDIS contains expenditure data that must be used to measure efficiency and productivity. Operational systems support day-to-day activities, such as disbursement of funds, account balances, reimbursements and transactions. Decision support systems support strategic decision-making and contain historical summarized data, as well as performance measurement, program and function analysis.

CPD's Boston office made a major contribution to IDIS reporting and data management by developing BOSMAC, a program that allows grantees to extract and collate data from disparate data files within IDIS. This ingenuity illustrates a great untapped capacity in the field to innovate in problem solving, which CPD should encourage whenever possible. It also illustrates how a major shortcoming was solved with modest resources, something that has eluded HUD which has substantially more resources.[17]

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[11] www.icfconsulting.com/Markets/Community_Development/doc_files/Snapshot_CDBG_Timeliness.pdf.

[12] This appears to be a misstatement. Grantees cannot demonstrate performance until after funding is expended. GAO probably meant performance from previous years' funding.

[13] U.S. General Accounting Office. *Community Development: Weak Management Controls Compromise Integrity of Four HUD Grant Programs* (RCED-99-98, April 27, 1999).

[14] Office of Inspector General, *Audit Report: IDIS*, HUD, May 11, 2000.

[15] See, www.whitehouse.gov/omb/budget/fy2004/pma/homeinvestment.

[16] Some may argue that a disbursement/tracking/compliance system and performance system should be separate. Yet separation or integration is not the issue. Instead, the issue is whether data, wherever reported and stored, can be seamlessly and automatically transferred to another system or used within a system when needed.

[17] See *BOSMAC*, www.hud.gov/offices/cpd/systems/idis/reporting/bosmac/index.cfm.

CONCLUSION

It appears that many of the issues described above are being addressed as CPD works with OMB and public interest groups to reengineer IDIS. The review of the system's deficiencies serves not only as a reminder of how far CPD has come in fixing the system, but also how it must be mindful and vigilant in addressing future challenges.

The rest of this report presents our findings and suggestions for a revised IDIS system. The findings are leavened with the realization that grantees face significant time and resource constraints and that IDIS itself has several limitations. Nonetheless, performance measures data are necessary and must be performed effectively and efficiently within the recognized limits. Chapter Two discusses ways to improve IDIS' capacity to accommodate performance measurement with particular focus on improving the usefulness of data toward the end of performance measurement without placing extraordinary burden on participating jurisdictions. Chapter Three examines issues involving the reliability and validity of performance data, and ways to address them without imposing excessive information gathering costs. Chapter Four offers a general model for improving performance measurement in IDIS.

CHAPTER TWO

ENHANCING AND REFINING IDIS DATA TO IMPROVE PERFORMANCE MEASUREMENT CAPABILITIES

POSSIBLE SOLUTIONS

- Accommodate multi-year project reporting.
- Reduce errors and omissions in data entry.
- Standardize performance measurement.
- Clarify activity beneficiaries.
- Expand coverage of accomplishments.
- Standardize state and entitlement community reporting where possible
- Select services delivered or beneficiaries served.
- Promote mechanisms that Allow easy reporting of IDIS data.
- Eliminate narrative comments where possible.
- Report year-end data.
- Prepare reports on grantees' behalf.
- Enter data into IDIS only once.
- Eliminate useless fields.
- Facilitate transfer of data across HUD and grantee systems.
- Facilitate connectivity across all HUD systems.
- Incorporate an electronic signature capacity.
- Produce reports that are easily understandable to the general public.

We developed our conclusions about IDIS using multiple approaches. The project team held meetings with stakeholders—CPD and OMB staff, public interest groups and state and local community development program directors—to obtain their views on how IDIS should be modified to serve their interests. It reviewed documents prepared by HUD staff to identify problems, issues and opportunities. And, it examined IDIS itself to determine how the system might work better. **Suggestions that follow appear to have widespread support among stakeholders, but it is not our intent for CPD to adopt them wholesale. Rather, they pose directions that CPD might consider moving forward after further consultation with grantees, public interest groups and OMB.**

Public interest groups apprised CPD of issues that should be addressed to improve IDIS. We have taken each issue and suggested a possible solution. Problems in quotation marks have been extracted from HUD's website.

ISSUES AND SUGGESTIONS[18]

Accommodate Multi-Year Project Reporting

Issue. "These profiles capture accomplishment information for only one year. Many CDBG-funded activities are multi-year efforts that do not achieve accomplishments in each year of their existence. This is especially true for economic development and public facilities activities. While grantees may be working diligently to carry out such activities, this may not be evident in reviewing a grantee's accomplishments for only a one-year period. Therefore, these data must be considered in the context of the local program."

Suggestion. IDIS might be modified to include screens that show current year data for a project or activity, as well as input for prior years. In subsequent reports, multi-year data would be reported "side-by-side" so that the activity is depicted across program years. This would show periods when there was little activity, perhaps at startup or completion, and when activity was more intense, such as during implementation.

This feature would add useful functionality for CPD and grantees alike. Consider multi-year projects. The single year data screen merely serves an administrative function, and a limited one at that. A multi-year screen would make it possible to compare expenditures and meaningfully assess performance, expenditure patterns and variation over time. This is an especially important capacity for multi-year projects as the vast majority of CDBG projects with large leverage capacity occur outside the confines of an IDIS fiscal year. It also is important as CPD encourages grantees to focus on targeting resources to neighborhood revitalization areas that inevitably require years to achieve results.[19]

Reduce Errors and Omissions in Data Entry

Issue. "Errors and omissions in reporting accomplishments in IDIS may occur and will result in inaccurate data appearing in these profiles. Grantees are working hard to correct erroneous data and supply missing data in IDIS. However, the effort to improve the quality of data is not complete, and the omissions and errors result in an undercounting of accomplishments."

Suggestion. CPD has a major effort in place to reduce errors and omissions in its IDIS data files and provide the beginning for a new reengineered system. At present, CPD has set up a series of "edits" that do not allow grantees to continue reporting in IDIS until they correct entries that are incorrect. Other ways to ensure that eliminating errors and omissions remains a high priority is to flag data entries that seem out of compliance. Still another way is to create benchmarks for certain activities; IDIS would flag data entries that deviate from the benchmark.

CPD could also to reduce errors and omissions by conducting random audits of grantees' data entry activities. Still another way is to adjust IDIS so that it incorporates the audit and error routine capacity using Benfords Law-based methodologies to elicit errors and ensure data entry integrity.[20]

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[18] See *Information About the Selected Accomplishments Reported by CDBG Grantees,* www.hud.gov/offices/cpd/communitydevelopment/library/accomplishments/index2.cfm.

[19] Includes Community Development Finance Institution-designated zones.

[20] For a wide variety of statistical data, the first digit is d with the probability $\log_{10}(1 + 1/d)$. See http://www.nist.gov/dads/HTML/benfordslaw.

Standardize Performance Measurement

Issue. "Grantees do not necessarily count persons served by some public service and public improvement activities in a uniform manner. Some grantees report unduplicated counts of persons served, while others report the number of times a service is provided. For example, one grantee may report the number of elderly persons served meals by its Meals on Wheels program, while another may report the number of meals served to its elderly clients."

Suggestion. It probably matters little whether grantees report units of service delivered or beneficiaries served as each reflects a program's accomplishments. Reporting both seems excessive, CPD should choose one measure or the other and ask grantees to comply when reporting; the former is preferable because it reduces the reporting burden on grantees.[21] Regardless, the choice of unit of analysis or benefit must be determined to consistently and meaningfully measure performance. Benefits to beneficiaries should be compared by dollars, over time and across jurisdictions.

Clarify Activity Beneficiaries

Issue. "Certain public improvement and public service activities may be made available to all residents in their service areas when at least 51 percent of the residents are low- and moderate-income persons. For these activities, grantees report the number of persons residing in the service area of a particular activity as the number of persons served by that activity. In contrast, if activities are intended to benefit a limited group of persons (rather than all persons in an area) of whom at least 51 percent must be low- and moderate-income, grantees report only those persons actually served by the activity. For example, a neighborhood library is available to all persons residing within a designated service area, while a day care program would require participants to qualify based on family income. Therefore, the number of persons served for activities may vary greatly depending on whether or not they are available to all persons residing in a service area or are available to a limited clientele."

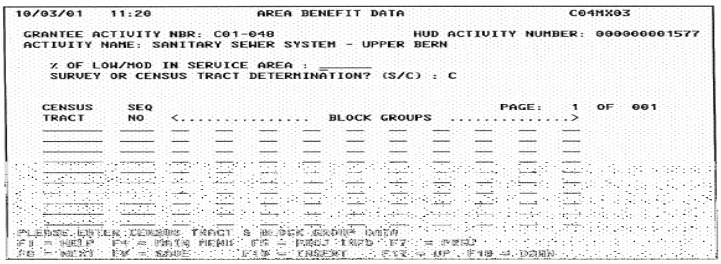
Suggestion. We focus on geographic boundaries in this suggestion. Geographic boundaries should not be rejected as components of a performance measurement system, especially because many grantees employ them in neighborhood strategy areas, CDFI zones or local boundaries. Yet a great deal of work needs to be done to determine how these bounded areas can be meaningfully measured, reported and ultimately aggregated to the national or even state level. Of course, geo-coding makes sense if CPD retains a third party agency or outside organization to conduct an impact assessment, thus removing the analysis burden from CPD and grantees that lack resources for sophisticated analysis.

[21] As an alternative, CPD could report service delivery estimates by calculating the average number of services that a single beneficiary consumes.

BOX 2-1
MX03 Area Benefit Screen

ENTERING DATA ON THE AREA
BENEFIT DATA (MX03) SCREEN

This screen must be completed for activities that meet the national objective of benefiting low- and moderate-income persons on an area basis. Area benefit national objectives are LMA, LMAFI, and LMASA. Enter information on this screen at the time an activity is set up in IDIS.



% OF LOW/MOD IN SERVICE AREA: Enter the percentage of low- and moderate-income persons in the service area.

SURVEY OR CENSUS TRACT DETERMINATION? Indicate whether a survey or census data was used to determine the percentage of low- and moderate-income persons residing in the area. As stated in the CDBG regulations at 570.208(a)(1)(vi), "Recipients that believe that the census data does not reflect current relative income levels in an area, or where census boundaries do not coincide sufficiently well with the service area of an activity, may conduct (or have conducted) a current survey of residents of the area to determine the percent of such persons that are low and moderate income. HUD will accept information obtained through such surveys, to be used in lieu of the decennial census data, where it determines that the survey was conducted in such a manner that the results meet standards of statistical reliability that are comparable to that of the decennial

22

Expand Coverage of Accomplishments

Issue. "While these profiles display accomplishments for a majority of the activities carried out by CDBG grantees, it is important to note that accomplishments for the following activities are not included in the profiles":

Acquisition/disposition of real property
Clearance and demolition
Interim assistance
Relocation
Code enforcement
Non-residential historic preservation
Planning activities (for States)

Suggestion. Data above are reported by grantees into IDIS, but not included in "profiles" used by CPD. CPD should consider including these data in profiles where it makes sense to do so.

Issue. "Only those economic development activities that created or retained jobs are included in these profiles. Other economic development activities, such as those that provide technical assistance to businesses or provide training and other types of assistance to persons creating micro enterprises are omitted."

Suggestion. Because economic development is an important purpose of CDBG, CPD should revise its IDIS screens to better capture business assistance in the form of technical assistance and training, and then include these data in profiles produced by CPD.

Standardize State and Entitlement Community Reporting

Issue. "For states, the profiles report the number of persons served for all public improvement activities. For entitlement communities, the profiles report the number of persons served only for the following public improvement activities that benefit low- and moderate-income persons on an area basis:"

Water and sewer improvements
Street improvements
Sidewalks

Suggestion. State and entitlement community reporting should be consistent wherever possible. However, state reporting should not be forced into an entitlement community model that does not fit state interests or needs. There should not be two parallel systems.[22]

Issue. "Also for entitlement communities, the number of persons served by the following public improvement activities that benefit low- and moderate-income persons on an area basis is not currently available in these profiles because grantees report the number of facilities/improvements assisted for these activities, rather than the number of persons served."

Public facilities and improvements (General)
Neighborhood facilities
Solid waste disposal improvements
Tree planting
Fire station/equipment
Health facilities
Asbestos removal

[22] State grantees were included in CDBG long after entitlement communities. Following a grace period for adjustment, states increasingly have become part of IDIS. Yet they need to be treated identically in the system because they engage in the same kinds of activities.

Suggestion. States and entitlement communities have different reporting requirements for these activities. CPD might want to consider making the reporting requirement uniform across the activities where it makes sense to do so.

Promote Mechanisms that Allow Easy Reporting of IDIS Data

Issue. Although IDIS contains many data that might be used in reports and for program management, they cannot be accessed electronically without a massive commitment of labor to extract and reassemble them. For example, it is laborious to try to assemble or analyze performance data across activities or projects. An enterprising HUD field office partially solved this dilemma by creating two Excel-based macros that aid in reporting data.[23]

Suggestion. A reengineered IDIS should ease production of standard reports that are useful to assess compliance and evaluate performance and management programs for grantees, HUD and the public. The system should allow both CPD staff and grantees to easily manipulate data to create specialized reports, such as responses to questions from OMB, Congress, constituencies or state and local administrations. Reports should show grantee performance on such factors as targeting, leveraging, efficiency and achievement of results.

The rationale for this suggestion applies to every functional management information system. A viable one should be designed so that data can be stored and generated for tables, reports and spreadsheets, and otherwise be useful to decision makers and analysts. If a member of Congress wants to know the composition and jobs impact of CDBG spending in two communities over time, IDIS should be able to readily fulfill the request.

Many expert observers would like CDBG to implement a performance reporting system similar to HOME's Snapshots system, whose reports citizens, not just professional community development experts, can easily read and interpret.[24] Others oppose a comparable report for CDBG because Snapshots are primarily output data comparing performance across jurisdictions. Notwithstanding the fact that data are outputs for the HOME program, most measures can be interpreted as outcomes—a major theme of this report. We have difficulty holding jurisdictions accountable by providing comparative information on performance.

Code Narrative Comments

Issue. Accomplishment data allow grantees to enter narrative comments to clarify or explain data entered into IDIS, yet such entries cause concern. Many narrative fields are left blank, making it difficult to compare within or across grantees. When narrative is provided, the information frequently summarizes in words what is already presented in numbers, as illustrated in Box 2-2. Because text is not converted into codes, it is unlikely that narrative information is extensively used.[25]

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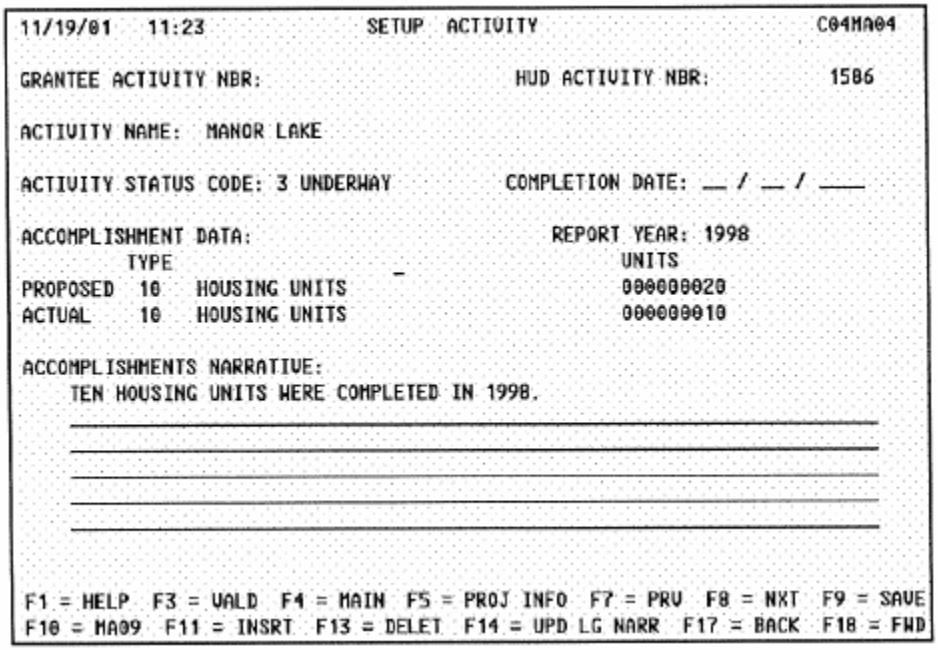
[23] *BOSMAC*. www.hud.gov/offices/cpd/systems/idis/reporting/bosmac/index.cfm.

[24] A sample state report can be found at http://www.hud.gov/offices/cpd/affordablehousing/programs/home/snapshot/4q04/oh/index.cfm.

[25] CPD has let a contract out to use software to extract or mine IDIS narrative data looking for accomplishments, illustrating the problematic nature of narrative reporting.

Suggestion. Narrative input should be eliminated whenever possible, and replaced by a set of codes that grantees can "check off." This approach not only would allow staff to monitor data, but also facilitate aggregation. Narrative data virtually are impossible to aggregate in any meaningful analytical fashion, though narratives entered thus far should be examined.[26] In this regard, a sample could be reviewed for recurring themes or characteristics and lead to the improvement of IDIS or procedural issues.

BOX 2-2
USE OF NARRATIVES IN REPORTING



Note: The box includes both numeric and text reporting for the number of housing units completed.

Enter Data Only Once in System

Issue. Given IDIS's path structure, grantees often must enter data repeatedly, consuming a great deal of resources and increasing the potential for error and omission.

Suggestion. In the reengineered IDIS, grantees should enter data only once and this information should be assigned throughout the system as appropriate. This would apply to IDIS reporting, consolidated plans, annual performance reports and consolidated annual performance and evaluation reports.

Several types of projects still would require multiple data entry. A project with a construction and jobs component inevitably would result in entries for both fields. This issue entails consideration of what the core basis or organizing principal of the management information system should be: projects or activities. Beneficiaries present a similar issue. Is the project providing an area benefit,

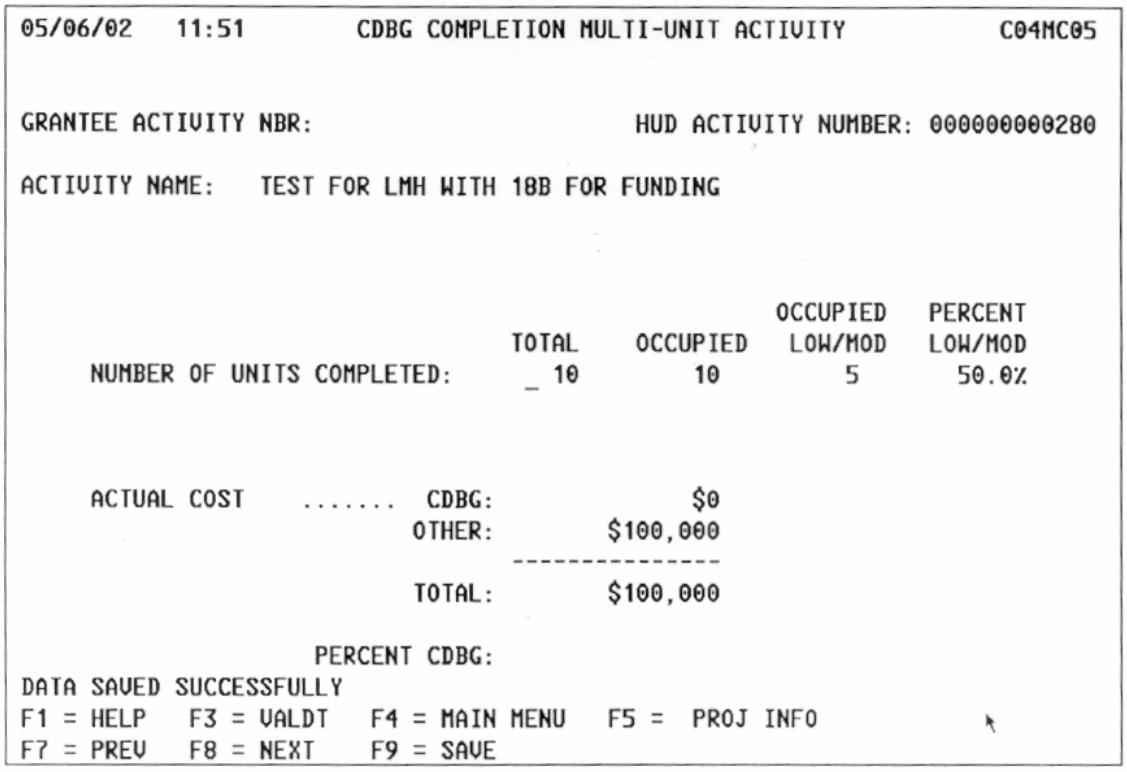
[26] Ibid.

infrastructure or families? This can be ameliorated by initial project type which, in turn, would add or delete screens.

Eliminate Useless Fields and Screens

Issue. Grantees report that there are too many useless fields that waste resources. Box 2-3 offers an example of screen with information gathered elsewhere in IDIS.

BOX 2-3
MC05 MULTI-UNIT SCREEN



Suggestion. CPD should review each data item and assess whether it should be eliminated. This would make the system more compact, reduce errors and omissions and save resources.

Similar to the issue discussed above, fields with limited use should be removed as should those that do not contribute to performance measurement or program management control. Doing so has proved difficult in the past as CPD is reluctant to reduce information requirements it might need later. This suggestion calls for eliminating fields that have no stakeholder utility, either now or later.

Facilitate Transfer of Data across HUD and Grantee Systems

Issue. Many grantees have sophisticated management information systems for grants management, compliance and performance. IDIS frequently is incompatible with them, causing grantees to operate two parallel systems that do the same work.

Suggestion. The reengineered IDIS must allow grantees to transfer data more easily and less expensively from their systems into it. In so doing, CPD should emphasize grantee program management. Local administrators in several jurisdictions, including Austin, Texas, are adapting—with considerable effort and expense—ways to link their state-of-the-art database systems with IDIS. Recipients can perform queries and generate reports through a relational database in ways that are useful to them. These jurisdictions have done this in direct proportion to their technical ability and frustration with IDIS' existing structure and limited usefulness.

Facilitate Connectivity across all HUD Systems

Issue. CPD performance measurement and accomplishment data reside in different databases, formats and media.[27] Consolidated plan data occur in IDIS, Community 2020, the Consolidated Planning Management Process Tool,[28] Consolidated Planning System, Consolidated Plan Data Transfer System and Grants Management System. Similar or even identical data are presented in a wide variety of formats, many of which can be submitted by one of these systems, or by e-mail, CD or hard copy. This variation poses major challenges to grantees and CPD staff when assembling, assessing and reporting data for management and accountability purposes.

Suggestion. One system should integrate these disparate pieces with grantees required to submit data in the same fashion through the same medium. Data should be entered only once and distributed to the appropriate files to avoid duplication.

Some grantees individually are integrating IDIS with more contemporary information technology. Austin, Texas has managed to link a Microsoft Access database to IDIS with the direction of technologically sophisticated staff. The benefits are many. An Access (or Oracle, SAP or SAS)-based system allows the grantee to make extracts, tables, and custom queries, and harness modern database features to effectively use IDIS-required data. Principally, an adjustment would make data reporting easier and more useful to participating jurisdictions and to HUD. Gradually including IDIS data in widespread database applications would add scalability for later innovations and ease transition out of IDIS for performance measurement purposes.

To achieve integration, CPD should assign a staff person responsibility for ensuring that it is done and maintained. CPD's policy director is a logical choice because this individual works across all CPD programs.

Create Electronic Signature Capacity

Issue. The Consolidated Planning Management Process tool allows grantees to submit consolidated plan documents electronically, but accompanying signatures on state and local certifications must be accomplished in hard copy.

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[27] *CPD-IDIS Reference Manual*, HUD, September 2001.
[28] *CPMP Tool.* www.hud.gov/offices/cpd/about/conplan/toolsandguidance/cpmp/index.cfm.

Suggestion. All signatures and authentications should be electronic. For example, the Internal Revenue Service authorizes two signature methods to sign tax returns electronically using a personal identification number (PIN). The self-select PIN method can be used only by taxpayers who file electronically using tax preparation software or through a tax professional who is an authorized e-file provider. If electronic signatures are acceptable to the IRS, they should be accepted and used securely by HUD.

Produce Reports That Are User-Friendly to the Public

Issue. Reporting under IDIS currently satisfies CPD and grantee needs, but it is unintelligible to the public.[29] For example, IDIS reports matrix codes for activities as a basis for many reports, but the codes have no meaning to people except those intimately familiar with IDIS.

Suggestion. CPD should develop reports in IDIS that the public can easily understand.

[29] An exception is the accomplishment single webpage for each grantee maintained on the HUD website. This page presents data clearly so that the public can assess program accomplishments. Yet many more data can and should be made available.

CHAPTER THREE

ENSURING DATA QUALITY AND VALIDITY IN IDIS

SUGGESTIONS

- Continue to reduce errors and omissions.
- Eliminate duplication across block grants.
- Incorporate benchmark checks.
- Expand field office audits.

Improving data integrity was a major objective when creating IDIS and it remains so today. Few complex public management information systems are flawless when it comes to quality of data entered. The goal for managers should not be to completely eliminate unreliable and invalid data as this would be impossible. Instead, the goal should be to continue to reduce such data whenever possible. Although IDIS will never be perfect, it can always be better. In this chapter, we suggest ways to improve data quality in IDIS. As with Chapter Two, the issues addressed have been raised by stakeholders, IDIS documentation, and our independent evaluation.

ISSUES AND SUGGESTIONS

Continue to Reduce Errors and Omissions

Issue. IDIS suffers errors and omissions when grantees report accomplishment data. In a recent study, CPD staff identified more than 100,000 "data element" problems in the system's data files which HUD and QED Group are working with entitlement communities and states to clean.[30] Numerous IDIS modifications now in place flag errors and omissions, and prevent grantees from closing out an activity when performance measurement data have problems.[31]

Suggestion. CPD should continue its efforts to develop "edits" to clean its files, and take steps to ensure that errors and omissions are reduced. In addition, it should evaluate the sources of error, whether human error or systematic, and interface flaws inherent to IDIS. A close evaluation will reduce errors, improve data integrity and increase usefulness. Meanwhile, CPD should continue to hold grantees accountable for ineffective reporting practices.

[30] See *CDBG Data Cleanup Worksheets*, www.hud.gov/offices/cpd/communitydevelopment/cleanup/accomplishments/index.cfm.
[31] See *IDIS Release Notes for Version 8.3, New CDBG Completion Edits*, CPD, September 15, 2004.

Eliminate Duplication and Adopt Data Normalization

Issue. Double counting is likely across CPD programs—CDBG, ESG, HOPWA and HOME—as grantees using two or more block grants could count performance twice. For example, a unit of housing, rehabbed under both CDBG and HOME, could produce double counting in terms of beneficiaries.

- Suggestion. IDIS's structure should be reviewed to find places where similar data are reported multiple times. Areas of duplication should be eliminated.[32]

Build in Benchmark Checks

Issue. Many errors are difficult to detect because data represent valid codes. If a grantee enters the number of units of service for an activity as 100 rather than 1,000, no flag is raised unless HUD or the grantee examines the figure more closely and catches the error.

Suggestion. One potential approach would be to create a set of benchmarks for an activity based on accomplishments from other entitlement communities and states which are continually compared against activities reported by individual ones. For example, grantee data for developing senior centers could be assembled to create a benchmark average and median. These could be broken down by such factors as community size so that similar communities and states could be compared. When a grantee enters a beneficiary number for a senior center, IDIS would compare it to the activity norm. If the number falls outside the norm, HUD managers or community development directors would investigate the discrepancy. Over time, such data would be useful in estimating how many beneficiaries could be expected from the senior center.

Substantial diversity exists concerning the performance of database systems on different problem domains. One system may be excellent for performing simple update-intensive transactions for online databases, but poor for performing complex queries. IDIS presents a unique challenge given that it is an older transactions system. This study has not investigated the efficacy of IDIS' database functions, but benchmarking should take place with regard to its recording, retrieving and linking capabilities.

[32] This principle is based on normalization techniques, originally designed and advocated by E.F. Codd in 1970, to decompose complex data structures into flat two-dimensional tables that form the basis of relational databases. Normalization provides anomaly-free data structures containing a minimum of redundant data. Because core items are located in one table, amendments and updates are global and efficient, avoid inconsistency and reduce data storage requirements. For example, programmers and developers choose entry options into a field in Find mode but not Browse, and whether a field is exited by Tab, Enter or Return keys. To do this, HUD and grantees must do the following:

- Choose a unique primary key, or combination of keys, for every table. There should not be duplicate rows.
- Remove repeating groups by referring to additional tables using foreign keys with codes that correspond to repeating items and allow for global changes.
- Ensure that all non-key table columns are fully dependent on the primary key.
- Introduce intermediate "one: many" tables to manage any "many: many "relationships encountered.
- Balance normalization with database performance to ensure optimal information retrieval.

Expand Field Office Audits

Issue. CPD field offices do not have the resources to fully audit field data submitted through IDIS. Nor does CPD headquarters. As a result, audits of IDIS data demonstrate errors and omissions, but do not address issues of reliability and validity of grantee-entered data.

Suggestion. CPD might consider periodically drawing a statistical sample of IDIS data and verifying their accuracy in the field. Failing this, audits could be conducted on grantees that seem problematic. Alternatively, audits may be undertaken randomly and coupled with technical assistance. This policy would provide HUD the administrative and managerial benefits of an audit and mitigate loss in cooperation in what often is a tense, even adversarial, process. Cost per unit data also could be made public for each grantee or project, facilitating oversight.

CHAPTER FOUR

MODELING PROGRAMMATIC DATA UNDER IDIS

SUGGESTIONS

- Include CDBG and other sources of project or activity funding.
- Maintain existing IDIS "accomplishments" in the new system where possible.
- Reduce narratives to coded responses.
- Incorporate innovation and best practice reporting.
- Extend job creation/retention and business assistance to three years beyond an activity's completion.
- Focus performance on HUD-wide administrative goals.
- Use the path framework to develop performance measurement in IDIS.
- Create baseline data from consolidated plan and other sources for entitlement communities, if not states.
- Calculate benchmark data for communities, if not state.
- Make grantee performance measurement with "working group" initiative (See footnote p.6).

IDIS does not utilize performance measurement but instead asks grantees to report accomplishments associated with activity beneficiaries. In this chapter, the Academy Panel provides approaches for re-engineering IDIS based on the performance measures it recommended in Volume One of its work, as well as analysis presented in this volume. It has worked through a series of data entry screens, modifying them to include performance measurement or linking them to additional screens that represent performance. The chapter also includes suggestions to develop a system for HUD-wide performance measurement and one for grantee-based performance measurement.

MA08: ACTIVITY SETUP "MONEY" SCREEN

Suggestion. The MA08 screen should be modified to ask about additional estimated public and private funding commitments necessary to make the project or activity viable. Once the project or activity is completed, actual expenditures from other public and private sources should be reported. Sources of funding would include HUD, federal, state and local governments, private and non-profit organizations and foundations. Reporting these sources would allow CPD to compute a public and private funding leverage ratio as required by the Program Assessment Rating Tool. Grantees would provide budget estimates, and IDIS would automatically calculate ratios.

Boxes 4-1 and 4-2 depict screen modifications and Box 4-3 shows reports.

BOX 4-1
ACTIVITY SETUP SCREEN: LEVERAGING

SETUP ACTIVITY		MA08
GRANTEE #		HUD ACTIVITY #
ACTIVITY NAME:		
ESTIMATED AMOUNTS:		**LEVERAGE RATIO ($/CDBG $)**
CDBG:	$	**1:**
OTHER HUD:	$	**1:**
OTHER FEDERAL:	$	**1:**
LOCAL:	$	**1:**
STATE:	$	**1:**
PRIVATE:	$	**1:**
NON-PROFITS:	$	**1:**
TOTAL ALL	**$**	**1:**

[Automatically computed in **bold**]

BOX 4-2
ACTIVITY COMPLETION: LEVERAGING

ACTIVITY STATUS: COMPLETED		MA08
GRANTEE #		HUD ACTIVITY #
ACTIVITY NAME:		
ACTUAL EXPENDITURES:		**LEVERAGE RATIO ($/CDBG $)**
CDBG:	$	**1:**
OTHER HUD:	$	**1:**
OTHER FEDERAL:	$	**1:**
LOCAL:	$	**1:**
STATE:	$	**1:**
PRIVATE:	$	**1:**
NON-PROFITS:	$	**1:**
TOTAL ALL	**$**	**1:**

[Automatically computed in **bold**]

BOX 4-3
SAMPLE LEVERAGING ACTIVITY REPORT SUMMARY

Status	Activity #	Description	CDBG Funding	Public Funding	Private Funding	Leverage Ratio Public	Private

COMPLETION PATH SCREEN SETUPS

CDBG completion path screens associated with an activity depend on the Matrix Code (MA03) and National Objective Code (NOC) (MC01), and whether the grantee is an entitlement community or state. Box 4-4 shows this screen.

Suggestion. We suggest retaining the basic, longstanding reporting system for accomplishments for two reasons. First, grantees and CPD staff are accustomed to producing and assessing this information. Second, they are able to compare trends over time when gathering consistent information over program years.

BOX 4-4
SETUP ACTIVITY SCREEN

```
12/12/02   06:40              SETUP  ACTIVITY                    C04MA08

GRANTEE ACTIVITY NBR: C01-050              HUD ACTIVITY NBR:  000000001580

ACTIVITY NAME:  RECREATION IMPROVEMENTS - WOMELSDORF
TOTAL ESTIMATED AMOUNT:         $25,000.00

INDICATE PROGRAM(S) TO BE ADDRESSED

ENTER (X) TO SELECT PROGRAM, (D) TO DELETE EXISTING PROGRAM PATH

                X   CDBG

                =   ESG

                _   HOME

                _   HOPWA




F3 = VALDT   F4 = MAIN MENU   F5  = PROJ INFO   F7 = PREV   F8 = NEXT
F9 = SAVE   F10 = MA09       F13 = DELETE
```

Suggestion. We suggest eliminating the narrative box. Narratives cannot be aggregated in any way; they simply help clarify data reported. In most cases, they express in words what the screen data express numerically, making the information redundant. Instead, the Panel suggests establishing a set of codes that must be checked—or, alternatively, enter counts–so that information can be aggregated. Only when codes require further explanation would grantees be required to provide a narrative.

A sample screen modification is presented as Box 4-5.

BOX 4-5
USE OF CHECK LISTS

INDICATE REASON(S) FOR DEVATION FROM BASELINE

Scheduling problems	[ ]
Contractor errors and omissions	[ ]
Change Orders	[ ]
Public Opposition	[ ]
Weather or other natural phenomena	[ ]
Administrative error	[ ]
Malfeasance by party in project	[ ]
Planning error	[ ]
Ahead of schedule	[ ]
Behind schedule	[ ]
Over Budget	[ ]
Partner leaves project	[ ]

Suggestion. As observed above, accomplishment narratives repeat in words what accomplishments report in numbers. Yet there is an opportunity to elicit valuable additional information. Once an activity or project is completed, it is useful for national policymakers and state and local decision-makers to access information on innovations or best practices. IDIS does not gather such information now. An optional screen should request nominations for an innovation or best practice, both in the form of a narrative and checklist. Checklist items might include cost and time savings, efficiency, project design and implementation and goal attainment. CPD staff should review each nomination to determine whether it should be publicized to the community development community.

Sample screen modifications are provided in Boxes 4-6 and 4-7.

BOX 4-6
INNOVATION SCREENS

NOMINATE THIS ACTIVITY AS INNOVATION OR BEST PRACTICE

INNOVATION (SELECT ONE):

COST SAVINGS ___
TIME SAVINGS ___
EFFICIENCY ____
PROJECT DESIGN ___
PROJECT IMPLEMENTATION ___
GOAL ATTAINMENT ___
OTHER ___

NARRATIVE DESCRIPTION:

_____
_____
_____

BOX 4-7
BEST PRACTICE SCREEN

NOMINATE THIS ACTIVITY AS INNOVATION OR BEST PRACTICE

BEST PRACTICE (SELECT ONE):

COST SAVINGS ___
TIME SAVINGS ___
EFFICIENCY ___
PROJECT DESIGN ___
PROJECT IMPLEMENTATION ___
GOAL ATTAINMENT ___
OTHER ___

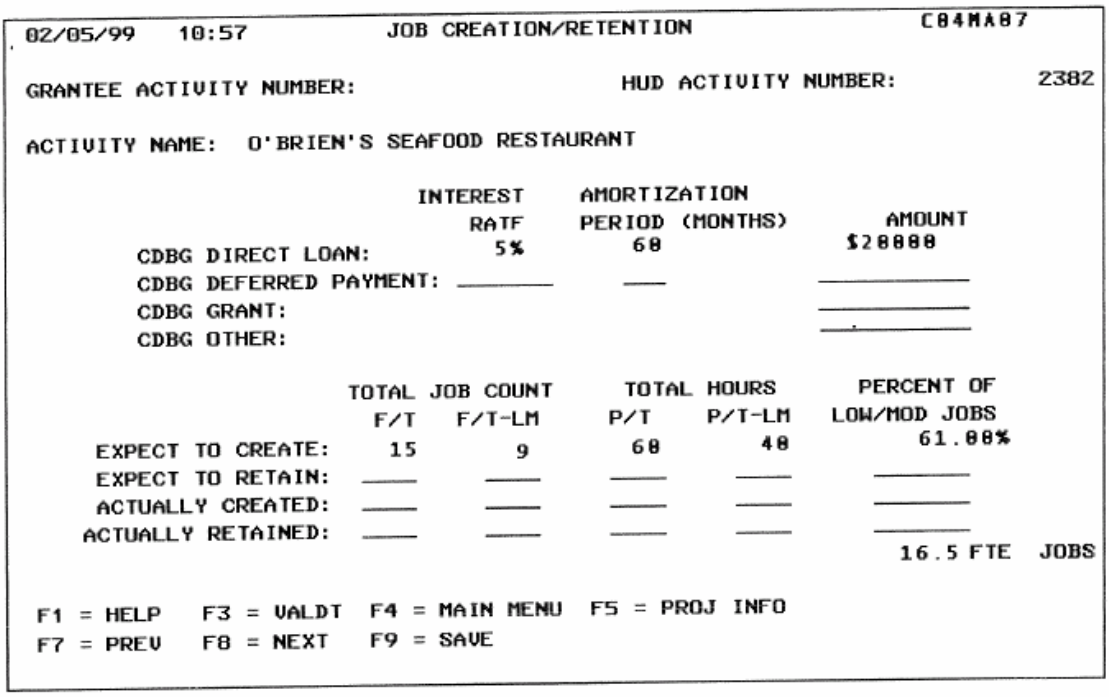
NARRATIVE DESCRIPTION:
_____
_____
_____

Suggestion. Screen MA07, concerning job creation/retention, requires grantees to report at an activity's conclusion. We suggest modifying IDIS so that the jobs screen remains active for a period

of three years following activity completion.[33] IDIS should prompt the grantee annually to contact an employer to determine how many jobs were created and/or retained. Grantees also would be asked to explain expansions or losses in a series of codes that can be checked. The codes could include business terminated, in bankruptcy, merger and relocation.

Box 4-8 illustrates IDIS's current job creation/retention screen, and Box 4-9 depicts a sample screen modification that has a more long-term perspective. The first should link to the second.

BOX 4-8
JOB CREATION/RETENTION SCREEN



```
02/05/99   10:57          JOB CREATION/RETENTION                    C04MA07

GRANTEE ACTIVITY NUMBER:                    HUD ACTIVITY NUMBER:          2382

ACTIVITY NAME:  O'BRIEN'S SEAFOOD RESTAURANT

                              INTEREST    AMORTIZATION
                                 RATF    PERIOD (MONTHS)       AMOUNT
        CDBG DIRECT LOAN:          5%        60                $20000
        CDBG DEFERRED PAYMENT: _______      ___              ___________
        CDBG GRANT:                                          ___________
        CDBG OTHER:                                          ___________

                        TOTAL JOB COUNT     TOTAL HOURS      PERCENT OF
                          F/T   F/T-LM      P/T    P/T-LM   LOW/MOD JOBS
     EXPECT TO CREATE:    15       9        60       40         61.00%
     EXPECT TO RETAIN:   ____    ____      ____     ____      _______
     ACTUALLY CREATED:   ____    ____      ____     ____      _______
    ACTUALLY RETAINED:   ____    ____      ____     ____      _______
                                                                16.5 FTE  JOBS

F1 = HELP   F3 = VALDT  F4 = MAIN MENU  F5 = PROJ INFO
F7 = PREV   F8 = NEXT   F9 = SAVE
```

[33] We do not believe that imposing a three-year tracking requirement imposes a great administrative burden on grantees. There are not that many businesses receiving subsidies in any jurisdiction.

BOX 4-9
JOB RETENTION AND CREATION

JOB RETENTION & CREATION SCREEN

	PROJECT COMPLETION	YEAR 1	YEAR 2	YEAR 3
CREATED	_____	_____	_____	_____
RETAINED	_____	_____	_____	_____

[IDIS WILL CALCULATE ROW TOTALS]

NARRATIVE

_____

_____

CODES:

[note: data above to be separated by FT and PT, or reported by FTE]

HUD-WIDE PERFORMANCE MEASUREMENT

In Volume One, the Academy Panel recommended that CPD adopt 19 performance measures related to the Administration's national goals and objectives. This resolves OMB's criticism under PART. Grantees would be held accountable based on these measures for attaining CPD goals. IDIS currently requires grantees to create an activity associated with a National Object Code and Matrix Code. This information prompts subsequent screens that grantees complete. IDIS refers to this as creating a "path."

Suggestion. We suggest the same methodology for linking activities with HUD-wide goals, as shown in Table 4-1. It is important to recognize that these goals sometimes change with turnover in administrations, unlike the national objectives that have remained constant.

TABLE 4-1
CURRENT HUD-WIDE GOALS

INCREASE HOME OWNERSHIP [HUD-1]	**PROMOTE AFFORDABLE HOUSING [HUD-2]**	**STRENGTHEN COMMUNITIES [HUD-3]**
Expand national home ownership. **[HUD-1-a]** # new homeowners **[HUD-1-a-1]**	Expand access to affordable rental housing. **[HUD-2-a]** # years of affordability **[HUD-2-a-1]** # units added **[HUD-2-a-2]**	Provide capital and resources to improve economic conditions in distressed communities. **[HUD-3-a]** # HUD-assisted startups **[HUD-3-a-1]** # jobs created **[HUD-3-a-2]*** # jobs retained **[HUD-3-a-3]***
Increase minority home ownership. **[HUD-1-b]** # minority new homeowners **[HUD-1-b-1]**	Improve physical quality and management accountability of public and assisted housing. **[HUD-2-b]** # housing units rehabbed **[HUD-2-b-1]**	Help organizations access resources they need to make their communities more livable. **[HUD-3-b]** # business inquiries for assistance **[HUD-3-b-1]**
Make home buying process less complicated and less expensive. **[HUD-1-c]** # organizations assisted **[HUD-1-c-1]**	Increase housing opportunities for elderly and disabled. **[HUD-2-c]** # elderly assisted: rental, owner **[HUD-2-c-1]** # disabled assisted: rental, owner **[HUD-2-c-2]**	End chronic homelessness and move homeless families and individuals to permanent housing. **[HUD-3-c]** # in transitional or permanent housing **[HUD-3-c-1]**
Fight practices that permit predatory lending. **[HUD-1-d]** # organizations assisted **[HUD-1-d-1]**	Help HUD-assisted renters make progress toward self-sufficiency. **[HUD-2-d]** # no longer needing assistance **[HUD-2-d-1]**	Mitigate housing conditions that threaten health. **[HUD-3-d]** # units returned to code **[HUD-3-d-1]**
Help HUD-assisted renters become homeowners. **[HUD-1-e]** # HUD-assisted renters becoming homeowners **[HUD-1-e-1]**	* Pulled in from Job Screen Note: HUD numbers bolded serve as filters to define a path.	
Keep existing homeowners from losing their homes. **[HUD-1-f]** # owner occupied rehab assisted **[HUD-1-f-1]** # assisted **[HUD-1-f-2]**		

After completing IDIS screens, grantees would be required to complete HUD-wide performance measurement screens. This information would be completed annually, not quarterly. To avoid duplication, grantees would not be able to enter performance data under any other category once they select a goal and objective. Performance measurement screens would differ according to whether an activity is new, continuing or completed.

Baselines and Benchmarks

New Projects and Activities

Performance measurement data are not available for new activities, though accomplishment data based on beneficiaries would be reported. For each performance measurement, the screen would require baseline data, expressed as a need and targeted goal. The former would be numbers of beneficiaries, and the latter would be a percent, rate or number depending on the measure. Baselines would specify a need and targeted goal against which a completed activity would be assessed.

Suggestion. For entitlement communities, baseline data—needs and targeted goals—come from a variety of sources depending on the measures used. We suggest that baseline data from Table 2 of the consolidated plan and annual performance reports be presented here, and that they automatically migrate from one system (the consolidated plan) to IDIS so grantees need not reenter data. Also, the logic model from HUD's Grants Management and Oversight Office is an excellent tabular framework for laying out goals, outcomes and baselines or benchmarks.[34] The model is shown in Box 4-10.

Data on need and targeted goals that are not produced in the ConPlan will be classified according to their source so that they can be accessed and reviewed by CPD staff as necessary.

Screen modifications Box 4-11 are presented below. This screen will be broken down into two separate screens: the first will ask which of three national goals an activity supports. Once this is selected, the screen will ask which objective under that goal the activity supports.

Once a goal and objective have been selected, a third screen will call up the appropriate performance measure against which the grantee will be assessed. The screen established the baseline (Box 4-12).

In the case of states, they are not required and do not produce baseline data comparable to entitlement communities. States, therefore, ought not to be required to produce this baseline data. CPD might want to consult states to determine what baseline data might be appropriate given their circumstances.

[34] http://www.hudclips.org/sub_nonhud/html/pdfforms/96010.pdf

BOX 4-10

HUD GRANTS MANAGEMENT AND OVERSIGHT OFFICE

LOGIC MODEL

Logic Model

U.S. Department of Housing
and Urban Development
Office of Departmental Grants Management and Oversight

OMB Approval No. 2535-0114
(exp. 12/31/2006)

Program Name:_____

Component Name:_____

[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	[illegible]	Outcomes		Measurement Reporting Tools	Evaluation Process
						Achievement Outcome Goals	End Results		
1		2	3	4	5	6	7	8	9
Policy		Planning		Intervention		Impact		Accountability	
				Short Term				a. b. c. d. e.	
				Intermediate Term				a. b. c. d. e.	
				Long Term				a. b. c. d. e.	

HUD's Strategic Goals

1. Increase homeownership opportunities.
2. Promote decent affordable housing.
3. Strengthen communities.
4. Ensure equal opportunity in housing.
5. Embrace high standards of ethics, management, and accountability.
6. Promote participation of grass-roots faith-based and other community-based organizations.

Policy Priorities

1. Providing Increased Homeownership and Rental Opportunities for Low- and Moderate-Income Persons, Persons with Disabilities, the Elderly, Minorities, and Families with Limited English Proficiency.
2. Improving the Quality of Life in our Nation's Communities.
3. Encouraging Accessible Design Features.
4. Providing Full and Equal Access to Grass-Roots Faith-Based and Other Community-Based Organizations in HUD Program Implementation.
5. Participation of Minority-Serving Institutions in HUD programs
6. Ending Chronic Homelessness within Ten Years.
7. Removal of Barriers to Affordable Housing.

form **HUD-96010** (11/2003)

BOX 4-11
HUD-WIDE GOALS/PERFORMANCE MEASURES

SELECTION HUD-WIDE GOAL SCREEN 1 & 2

INCREASE HOME OWNERSHIP ___

PROMOTE AFFORDABLE HOUSING ___

STRENGTHEN COMMUNITIES ___

BOX 4-12
HUD-WIDE GOALS/PERFORMANCE MEASURES

SELECTION HUD-WIDE GOAL SCREEN 2

INCREASE HOME OWNERSHIP ___

EXPAND NATIONAL HOME OWNERSHIP ____
INCREASE MINORITY HOME OWNERSHIP ____
MAKE HOMEBUYING LESS COMPLICATED & LESS EXPENSIVE ___
FIGHT PREDATORY LENDING ____
HELP HUD-ASSISTED RENTERS BECOME HOMEOWNERS ____
KEEP HOMEOWNERS FROM LOSING HOMES ___

Existing/Continuing Projects and Activities

For ongoing projects and activities, performance measurement data related to accomplishments are reported at the end of the first year. Baseline data are stored in the system and shown on the screen for the activity once current data are entered. IDIS would compare the baseline against actual data. When discrepancies occur, an explanation would be requested that requires checking reasons for the discrepancy and providing a short narrative explanation. The discrepancy can be positive (exceeding a need or targeted goal) or negative (falling short).

Check off explanations for discrepancies would be included in a screen modification, presented in Box 4-13.

BOX 4-13
BASELINE DEVIATION SCREEN

INDICATE REASON(S) FOR DEVATION FROM BASELINE

Change in project scope	[ ]
Information system problem	[ ]
Contractor errors and omissions	[ ]
Con Plan Incorrect	[ ]
Measurement error	[ ]
Administrative error	[ ]
Planning error	[ ]
Ahead of schedule	[ ]
Behind schedule	[ ]
Over Budget	[ ]
Leveraging Exceeded plan	[ ]
Scheduling problems	[ ]
Other	[ ]

Suggestion 4.8: In addition to baseline data, CPD should report benchmark data on this screen, allowing entitlement communities and states to compare their performance against similar areas. To do this, CPD would use IDIS to assemble performance measurement data drawn from all grantees reporting on an activity. These data would be analyzed with states and entitlement communities clustered into comparable groupings by demographics, population size, geographic location, CDBG budget and other factors.[35] CPD would report whether a grantee is above or below the mean or median, probably by quartile. Screen modifications are presented in Box 4-14. States would not be exempted from this requirement as they were from baseline reporting.

[35] Clusters or groupings of communities and states could be accomplished using a statistical technique called cluster analysis.

BOX 4-14
NEED/GOALS SETUP SCREEN

SETUP SCREEN—NEW ACTIVITY

INDICATOR: [CALLED UP FROM HUD-WIDE GOALS]

NEED ESTIMATION: _____
HOW NEED DETERMINED? SPECIFY:
CONPLAN TABLE 2B
SURVEY
STUDY

GOAL SPECIFICATION: _____
WHERE GOAL ORGINATED:
CONPLAN TABLE 2B
OTHER

TABLE 4-2
CONSOLIDATED PLAN SUBMISSION

PRIORITY COMMUNITY DEVELOPMENT NEEDS	Priority Need Level High, Medium, Low, No Such Need	Unmet Priority Need	Dollars to Address Unmet Priority Need	Goals
PUBLIC FACILITY NEEDS (projects)				
Senior Centers				
Handicapped Centers				
Homeless Facilities				
Youth Centers				
Child Care Centers				
Health Facilities				
Neighborhood Facilities				
Parks and/or Recreation Facilities				
Parking Facilities				
Non-Residential Historic Preservation				
Other Public Facility Needs				
INFRASTRUCTURE (projects)				
Water/Sewer Improvements				
Street Improvements				
Sidewalks				
Solid Waste Disposal Improvements				
Flood Drain Improvements				
Other Infrastructure Needs				
PUBLIC SERVICE NEEDS (people)				
Senior Services				
Handicapped Services				
Youth Services				
Child Care Services				
Transportation Services				

PRIORITY COMMUNITY DEVELOPMENT NEEDS	Priority Need Level High, Medium, Low, No Such Need	Unmet Priority Need	Dollars to Address Unmet Priority Need	Goals
Substance Abuse Services				
Employment Training				
Health Services				
Lead Hazard Screening				
Crime Awareness				
Other Public Service Needs				
ECONOMIC DEVELOPMENT				
ED Assistance to For-Profits(businesses)				
ED Technical Assistance(businesses)				
Micro-Enterprise Assistance(businesses)				
Rehab; Publicly- or Privately-Owned Commercial/Industrial (projects)				
C/I* Infrastructure Development (projects)				
Other C/I* Improvements(projects)				
PLANNING				
Planning				
TOTAL ESTIMATED DOLLARS NEEDED:				

* Commercial or industrial improvements by grantee or non-profit.

Completed Projects and Activities

Activities completed within one year would have screens and reports identical to those depicted above. Multi-year projects would present initial needs, goals and subsequent annual accomplishments over its duration. Screen modifications (Boxes 4-15 and 4-16) and reports (Box 4-18) are presented below.

BOX 4-15
NEED/GOAL/ACCOMPLISHMENT SCREEN

CONTINUING ACTIVITY—YEAR 1

INDICATOR: [CARRYOVER SETUP SCREEN]

NEED: [CARRYOVER SETUP SCREEN]

GOAL: [CARRYOVER SETUP SCREEN]

ACCOMPLISHMENT: _____ [STATUS AS OF END OF YEAR 1]

NARRATIVE: [DISCUSS ANY DEVIATION FROM GOAL]
_____
_____

CODE: [CHECK REASON FOR DEVIATION]

NARRATIVE: [DISCUSS ANY DEVIATION FROM NEED]
_____
_____

CODE: [CHECK REASON FOR DEVIATION]

BOX 4-16
CONTINUING ACTIVITY SCREEN

CONTINUING ACTIVITY—YEAR 2 [OR YEAR N]

INDICATOR: [CARRYOVER SETUP SCREEN]

NEED: [CARRYOVER SETUP SCREEN]

GOAL: [CARRYOVER SETUP SCREEN]

ACCOMPLISHMENT: _____ [STATUS AS OF END OF YEAR 2]

NARRATIVE: [DISCUSS ANY DEVIATION FROM GOAL]
_____
_____

CODE: [CHECK REASON FOR DEVIATION]

NARRATIVE: [DISCUSS ANY DEVIATION FROM NEED]
_____
_____

CODE: [CHECK REASON FOR DEVIATION]

EFFICIENCY MEASURES SCREEN

VIEW EFFICIENCY MEASURES—SCREEN

YES _____

BOX 4-18
EFFICIENCY RATIOS REPORT

Activity #	Description	Measure/ Accomplishment Definition	Output #	Grantee Efficiency Ratio	Benchmark Efficiency Ratio

Viable Communities

OMB has asked CPD to incorporate the "viable community" concept into the performance measurement system—specifically, a definition of viable community against which entitlement communities and perhaps states can report progress. For the reasons articulated throughout this report, we find this request problematic as it doubts whether HUD can come up with a definition that would apply to every jurisdiction in the nation. Communities vary too significantly in character, structure and need to allow for uniform measurement.

Instead, we propose that CPD designate a menu of approved indicators from which entitlement communities and states can craft their own definitions of viability. Communities would select at least five indicators and have the opportunity to propose alternative definitions that could be utilized with CPD approval. For each indicator, CPD would suggest, or communities designate, some level

constituting a viable community. For example, a viable community might be one in which median housing values meet or exceed a certain dollar amount. Individual indicators would receive a score on a range from most to least viable and specific indicators could be weighted. Each indicator would be summed to yield a community viability score.

In addition to viability, CPD should allow variation when defining "community," which may represent census blocks or tracts, political jurisdictions, designated neighborhood strategy areas, informal neighborhoods, zip codes and the like. Because CDBG makes expenditures in different types of communities in different amounts, CPD should require communities to designate a reasonable number—five may be appropriate—most distressed neighborhoods to assess viability. Communities with fewer neighborhoods would report what they have.

The consolidated plan or annual update should be the reporting vehicle for community viability measurements. A new table in the reporting system might resemble Box 4-19.

BOX 4-19
COMMUNITY VIABILITY ANALYSIS

Neighborhood	**Viability Score**	**Viability Target**	**Score/Target**	**Annual $ estimate to achieve viability**
#1				
#5				
Viability indicators: [specified]				

Based on the sum of the indicators, each neighborhood would receive a viability score constituting a viable community. The score could be divided by the viable community score to yield a ratio or, if multiplied by 100, a percent.

This approach would help communities to estimate how much funding—CDBG and/or federal and private funding—would be required to make America's most distressed communities viable over an extended period, such as 20 years. CPD might offer communities a series of options on how to calculate revitalization costs.

Logic Model

The major components described above can be incorporated into a logic model that shows one path through IDIS. The model is shown in Box 4-20. [36] Year-end reports would be issued with the figures arrayed in columns.

BOX 4-20

[36] Minor sub-paths and the community viability component have been excluded from the model path for simplicity of presentation.

SAMPLE LOGIC MODEL PATH FOR HUD

Goal	"Increase home ownership." [HUD-1]
Objective	"Expand national home ownership." [HUD-1-a]
Activity	"Direct homeownership assistance." From HUD approved activity list (Appendix C).
Performance Measure	"# new homeowners" [HUD-1-a-1]
Local Need	"Unmet priority need." From consolidated plan (Table 4-2), survey or other source.
Local Target	"Goal." From consolidated plan (Table 4-2), survey or other source.
Accomplishment	Activity end or annual accomplishment for multi-year projects. (Box 4-15)
Over or Below Target	Activity end or annual accomplishment for multi-year projects. (Box 4-16)
Efficiency	Inputs/outputs ratio. (Box 4-17)
Effectiveness	Outputs/cost. (Box 4-18)
Leveraging	Funding from other sources. (Box 4-2)

GRANTEE-BASED PERFORMANCE MEASURES

Originally, this contract called for development of a set of performance measures (Task 1) that would be integrated into IDIS (Tasks 2-4). Since our first report (Volume 1), grantees, HUD, OMB, and public interest groups formed a working group that yielded consensus on a set of performance measures for which all parties agreed to be held accountable. Our effort used many of the performance measures originally produced by this working group. We endorse the process and the performance measures adopted. Because our efforts parallel the working group's, we have decided to leave our original analysis below as a mode; that supports that initiative.

Indicators fall into three broad purposes: suitable living environment, decent affordable housing and economic opportunity. They are further classified by five outcomes: access/availability, affordability, sustainability/livability, health, safety and quality, and economic opportunity.[37] Performance measures have been proposed under many, but not all, goals and outcomes. Reporting distinctions are identical to those discussed above concerning HUD-wide goals and performance measures.

Appendix A arrays grantee performance measures according to HUD-wide goals and outcomes. Appendix B provides a logic model that ties together HUD goals, outcomes, activities, performance measures, need and targets.

A sample path through the grantee performance system is shown in Box 4-21. Here, too, year end reports would be issued with the figures arrayed in columns.

[37] COSCDA initially developed this approach, which gained wide support in a consensus building effort among stakeholders in 2004.

BOX 4-21
SAMPLE LOGIC MODEL PATH FOR GRANTEES

Goal	"Suitable living environment." (Appendix A)
Outcome	"Affordability." (Appendix A)
Activity	"Neighborhood revitalization." (Appendix)
Performance Measure	"Years of affordability; Increase in property value." (Appendix A)
Local Need	"Unmet priority need." From consolidated plan (Table 4-2), survey or other source. "Affordable housing units needed."
Local Target	"Goal." From consolidated plan (Table 4-2), survey or other source. "Affordable housing units targeted."
Accomplishment	Activity end or annual accomplishment for multi-year projects. (Box 4-16)
Over or Below Target	Activity end or annual accomplishment for multi-year projects. (Box 4-16)
Efficiency	Inputs/outputs ratio. (Box 4-17)
Effectiveness	Outputs/cost. (Box 4-18)
Leveraging	Funding from other sources. (Box 4-2)

APPPENDIX A

PROPOSED PERFORMANCE MEASURES[38]

Outcome					
ACTIVITY	**ACCESS/ AVAILABILITY**	**AFFORDABILITY**	**SUSTAINABILITY/ LIVABILITY**	**HEALTH, SAFETY, QUALITY**	**ECONOMIC OPPORTUNITY**
Suitable Living Environment					
Community Facilities	average served/month/facility				
Health centers	average additional patients seen/month/facility				
Water, sewer, solid waste	# households hooked up		# gallons lost in system		# businesses assisted
Public safety				# housing code violations	
Roads, sidewalks, curbs	# miles roads; # yards concrete			# traffic volume; # traffic accidents	
Transportation					
Utilities	# households served/utility				# businesses assisted
Flood, drainage				# acres improved, restored; # service calls reduced	
Environmental Remediation				# acres remediated	

Downtown revitalization					# new businesses;
					# retained businesses;
					$ increase business tax;
					$ increase property tax;
					# new jobs created;
					# hours in operation

Neighborhood revitalization	# new housing units produced; # new rental units created	# years of affordability; #increase in property value		# housing units restored to code	

[38] *Developing Performance Measures for the CDBG Program*, Volume One, October 2004.

APPPENDIX A

Outcome					
ACTIVITY	**ACCESS/ AVAILABILITY**	**AFFORDABILITY**	**SUSTAINABILITY/ LIVABILITY**	**HEALTH, SAFETY, QUALITY**	**ECONOMIC OPPORTUNITY**
Decent Affordable Housing					

Home ownership	# new homeowners;
	# new minority homeowners;
	# disabled;
	#elderly;
	# HUD rental assisted becoming homeowners
		# years of affordability;
		$ median home loan;
		# renters becoming homeowners
			$ increase in property value;
			$ increase in equity;
			# mortgage defaults
					# new mortgages applied for

Rental rehab	# units rehabbed; average days vacant	# years of affordability		# returned to code	
Owner occupied Rehab	# assisted	# years of affordability	# mortgage defaults	# returned to code	
Rental assistance	# assisted; # disabled; # elderly	# years of affordability	# off rental assistance	# returned to code	
Housing infrastructure	# households assisted				
Lead-based paint	# housing units tested; ratio of lead found v. total units			# housing units lead free	
Preservation			# housing unit preserved; # structures preserved		
Homelessness	# assisted monthly average—shelter, meals	# in transitional or permanent housing; Average months homeless		# first time homeless; # repeat homeless	# employed; # permanent address
Disabilities	# assisted			# first time assisted; # repeat assisted; # successfully completing; ratio successful completion v. total case load	
Counseling, supportive services	# assisted			# first time assisted; # repeat assisted; # successfully completing; ratio successful completion v. total case load	

APPPENDIX A

Outcome					
ACTIVITY	**ACCESS/ AVAILABILITY**	**AFFORDABILITY**	**SUSTAINABILITY/ LIVABILITY**	**HEALTH, SAFETY, QUALITY**	**ECONOMIC OPPORTUNITY**
Rental units	# units added; ratio number units added v. total number of units available				
Economic Opportunity					
Direct assistance businesses	Average increase hours operation; # new businesses attracted; # business inquiries for assistance; # businesses assistance		# businesses receiving assistance failed; ratio failures v. total assisted; ratio number assistance solved v. total assisted	$ change in insurance premium	# businesses assisted; # jobs created at startup; # jobs retained; #increased business taxes paid; $ increase property value
Microfinance					# businesses assisted; # jobs created at startup; # jobs retained; #increased business taxes paid; $ increase property value
Infrastructure					
Community facilities	# participants/facility/ mo				
Flood control, remediation, demolition	ratio acres controlled, remediate v. total in need			# number of service calls made; # acres usable for development	
TA & training	# of participants			# successfully completing training; ratio successful v. to participants: # certified	

APPPENDIX A

Outcome					
ACTIVITY	**ACCESS/ AVAILABILITY**	**AFFORDABILITY**	**SUSTAINABILITY/ LIVABILITY**	**HEALTH, SAFETY, QUALITY**	**ECONOMIC OPPORTUNITY**
Job training	# of participants			# successfully completing training; ratio successful v. to participants; # certified	# participants obtaining job; # participants holding job for at least one year; # participants in jobs with health insurance

APPPENDIX B

LOGIC MODEL FOR GRANTEES

GOAL: AVAILABILITY/ACCESSIBILTY

Improve availability or accessibility to services and amenities. Make services and benefits available or accessible to a community or area with "LMI" persons.

Outcome Measures

- new access to the service or benefit for the first time
- improved access to the service or benefit
- met quality standard or measurable improved quality

Need

Goal

Activity Example: Rehabbing 20 homes

- Objective: decent housing

- Outcome: availability/accessibility
- Outcome Measure: met quality standard

- Activity Outputs: number of units (20 in this example)
  number of persons served
  number of persons served at by income level
  all other data that is input into IDIS for this project

GOAL: HOUSING AFFORDABILITY

Provide affordability in a variety of ways in the lives of low and moderate income people, such as making homeownership or rental housing affordable.

For each activity, the following measures would be reported on:

- amount of money leveraged per unit or project, whichever is applicable (by source: other public or private)
- number of households assisted
- number of units meeting Energy Star standards for new construction or gut rehabilitation

Need

Goal
Outcome Measures

- Create/Increase Homeownership Opportunities
    - number of loans or grants
    - amount of assistance resulted in production of new unit
    - amount of assistance resulted in rehab of existing unit
    - number of total homebuyers assisted
        - of those, number of homebuyer assistance to subsidized tenants
    - number of first-time homebuyers
    - number of minorities

- Create Rental Units
    - number of affordable rental units produced
    - number that are 504 accessible
    - years of unit affordability

- Maintain/Sustain Owner-Occupied Units
    - Bring unit up to standard condition or before and after rehab value (based on assessed value)

- Maintain/Sustain Renter-Occupied Units
    - number of units brought up to HQS that are 504 accessible
    - years of unit affordability

- Program Assistance/Purpose Information
    - purpose of assistance
    - type of assistance: service (housing counseling?), grant, guarantee, loan (go to loan page)
    - address of assisted unit
    - year assisted unit constructed

- Current Household Status
    - current household income level (already collected)
    - household's racial/ethnic classification (already collected)
    - female-headed household (already collected)
    - disabled (physical/chronically mentally ill)
    - tenure type: owner, renter, group shelter, homeless
    - current cost burden: percent of household income
    - physical condition of current residence (substandard, noncompliance with applicable codes)

GOAL: PROMOTE LIVABLE OR VIABLE COMMUNITIES

Improve a community to help make it livable or viable for principally low and moderate income people through multiple activities, or providing services that sustain communities.

Outcome Measures

- Improvement activities completed as part of a revitalization strategy or a locally targeted geographic area
    - number of new businesses
    - number of businesses retained
    - number of jobs created in target area
    - amount of money leveraged (from other public or private sources)
    - number of persons served
    - number of households assisted
    - number of businesses assisted
    - number of households/persons with access to public facilities
    - number of commercial façade treatment/business building rehab
    - miscellaneous indicators—can include crime statistics, property value change, housing code violations, business occupancy rates, employment rates (optional)

- Activities that help area meet quality standards or measurable improved quality to sustain target area (slum/blight)
    - number of households with access to new infrastructure service
    - number pf acres recovered by Brownfields remediation
    - number of new businesses created
    - number of new jobs created
    - number of private funds leveraged
    - number of commercial façade treatment/business building rehab

- Sustain neighborhood housing preservation
    - number of owner occupied rehabs
        - of those, number of units assisted by targeted code enforcement
    - number of homebuyers assisted
    - number of rental units assisted
        - of those, number of units assisted by targeted code enforcement
    - miscellaneous measures occupancy rate, crime, property value, HQS/code enforcement

Need

Goal

GOAL: ENHANCE INDIVIDUAL, HOUSEHOLD HEALTH/SAFETY AND GENERAL WELFARE

Provide programs that improve the health, safety and general welfare of low and moderate income persons

Outcome Measures

- number of units rehabbed to code
    - of those, number brought to lead safety standards

- number of units required or improved to address health and safety standards
    - of those, number brought up to lead standards
- number of households benefited from enhanced community facilities, including safe drinking water, sanitary sewer, water line installation to improve pressure, community centers, fire stations and equipment
- number of individuals/households receiving public services designed to improve their health, safety, general welfare or economic opportunity
- number of homeless persons who attain permanent housing
- number of persons with HIV/AIDS who obtain permanent housing
- number of homeless persons stabilized with overnight shelter or other emergency housing support
- amount of money leveraged (from other public or private sources)
- number of persons served/households assisted (as appropriate or both)
- income levels (of persons or households or both)
- number of communities assisted

Need

Goal

GOAL: PROVIDING ECONOMIC OPPORTUNITY

Programs that create or retain jobs—i.e. assisting businesses to create or retain jobs

For All Projects

- amount of money leveraged (from other public or private sources)
- percent of business loans current (for all projects where loans are made)

Create Jobs

Indicators/Measures

- number of jobs created
    - Does the business/employer include an employer-sponsored health care benefit?
    - Is the job greater than minimum wage?
    - Is the job full time?
    - Is the job non-subsidized

Retain Jobs

Indicators/Measures

- number of jobs created
    - Does the business/employer include an employer-sponsored health care benefit?
    - Is the job greater than minimum wage?
    - Is the job full time?

- Is the job non-subsidized?

Create New Small Businesses

- number of businesses created
  - number of start ups
  - number of businesses surviving for three or more years after assistance

Business to Provide Goods or Services to Low/Mod Area

- Does the assisted business provide a good or service to met a current unmet demand in service area? Yes/No

- Does the assistance to the business provide a good or service that meets a current unmet demand in the service area? Yes/No

OUTCOME MEASURES FOR ALL CDBG PROJECTS

The full value of outcome measures will not be realized without quality output measures, including financial accounting of funds and expenditures that give context. Below are a number of areas of output measures that currently are collected or may be in the future, including improvements in data already collected and data output enhancements:

- amount of money leveraged (from other public or private sources)
- number of persons served or households assisted
- target area served (census tracts), if applicable
- location of activity (address/census tract/zip code)
- civil rights data: racial/ethnic data if households/individuals served
- female-headed household
- income (or range) if households/individuals assisted: non low/mod, moderate, low, very low
- number of persons in household, if applicable
- direct funding assistance to a household, individual or business—i.e. was it as a service, grant or loan (applies to federal funds used, such as CDBG, HOME, ESG or HOPWA)
  - if loan: amount of loan, term, rate, repayments received.
  - if service: were records maintained by household or individual as a requirement of receipt of service or was service a point of use/on-demand with no individual record required or maintained
  - if business assisted: name of business, DUNS number and 2-digit SIC code.
  - if shelter assistance, either to a household in a unit or shelter to an individual or household: tenure type (owner or renter) or shelter type group home, ongoing or temporary shelter
- for services only provided:
  - if service provided is tracked by clients: outputs tracked by number of unduplicated count of service
  - if service is not tracked by clients: number of service units provided during program year (reporting period), number of days service units provided during program year, average daily times service unit provided, such as meals per day (if applicable)

CDBG ACTIVITIES

ACQUISITION/PROPERTY	PUBLIC IMPROVEMENTS
Acquisition real property	Public facilities: general
Disposition	Senior centers
Clearance & demo	Handicapped centers
Clean-up contaminated sites	Homeless facilities
Relocation	Youth centers
ECONOMIC DEVELOPMENT	Neighborhood facilities
Rehab: public or private	Parks, recreation
Land acquisition/disposition	Parking
Infrastructure	Solid waste disposal
Building acquisition, cons., rehab	Flood drain
Other improvements	Water/sewers
Direct financial assist. for-profits	Sidewalks
Technical assistance	Child care centers
Micro enterprise	Tree planting
HOUSING	Fire stations
Loss of rental income	Streets
Housing construction	Health centers
Direct homeownership assist.	Abused/neglected children centers
Rehab: single unit res.	Asbestos Removal
Rehab: multi-unit res.	HIV/AIDS facilities
Public housing modernization	Operating costs: homeless/AIDS
Rehab: publicly-owned res.	Interim assistance
Energy efficiency	Architectural barriers
Rehab: acquisition	Privately owned utilities
Rehab administration	Non-residential historic pres
Lead-based/hazard abatement	**URBAN RENEWAL**
Code enforcement	Urban renewal completion
Residential historic pres.	CDBG higher ed
HOME Admin	
HOME CHDO operating	
CDBG non-profit capacity building	
CDBG oper & repair foreclosed prop.	
PUBLIC SERVICES	
Public services: general	Health services
Senior services	Abused & neglected children
Handicapped services	Mental health services
Legal services	Lead screening
Youth services	Subsistence payments
Transportation services	Homeownership assistance
Substance abuse	Rental housing subsidies
Battered spouses	Security deposits
Employment training	Tenant/landlord counseling
Crime awareness	Child care services
Fair housing	