FISCAL YEAR 2020 ANNUAL PERFORMANCE REPORT

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

The Department of Housing and Urban Development

Fiscal Year 2020 Annual Performance Report

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About This Report

The Fiscal Year (FY) 2020 Annual Performance Report (APR) for the U.S. Department of Housing and Urban Development (HUD) provides detailed performance-related information to the President, the Congress, and the American people. This report identifies HUD's FY 2020 performance relative to targets.

This report consists of several important sections:

Agency Organization and Performance Reporting

The Agency Organization and Performance Reporting section establishes the context for the HUD enterprise in terms of HUD's organizational structure, scope of responsibilities, and management agenda.

Strategic Objectives, Performance Indicators, and Cross-Agency Priority Goals

The second section is based on HUD's strategic framework from the HUD FY2018-2022 Strategic Plan, as amended by the FY 2020 Annual Performance Plan, and provides accountability for the goals established in the Annual Performance Plan. The majority of the FY 2020 Annual Performance Report is organized by strategic objective. Strategic objectives are intended to reflect the outcome or management impact an agency is trying to achieve during the period of performance. Progress towards each objective was reported annually through a specific set of performance indicators.

Figure 1: This sample strategic flow demonstrates how the strategic goals, strategic objectives, performance goals, and Agency Priority Goals should cascade from the Department's mission.

For each strategic objective HUD monitored in FY20, we have included associated major milestones and performance indicators to track our progress. Each of the twenty-four CFO Act-regulated Federal agencies are responsible for identifying a limited number of performance goals that are high priorities over a two-year period. These Agency Priority Goals (APGs) support near-term improvements and advance progress toward longer-term, outcome-focused strategic goals and objectives in an agency's Strategic Plan. Thus, while strategic objectives are evaluated annually and focus on longer-term performance goals, APGs are evaluated quarterly and focus on near-term results. HUD established four APGs in FY20 that covered a two-year performance period (FY20-21). This APR outlines the performance of those APGs for FY20.

Cross-Agency Priority (CAP) Goals drive cross-government collaboration to tackle government-wide management challenges affecting most agencies. In FY20, HUD successfully completed its tenure as agency co-lead for CAP Goal 6, Shifting from Low- to High-Value Work. This CAP Goal focuses on shifting time, effort, and funding toward accomplishing mission-critical objectives instead of obsolete and unnecessary compliance activities. HUD, however, continues to leverage this CAP Goal's mission by sustaining HUD's efforts to improve efficiency and effectiveness. "The Prescription for HUD" also directly supports this goal, as it is focused on improving outcomes of the Department's programs and strengthening internal operations. The Prescription does this by ensuring employees are not tied down by inefficient administrative processes that impede the Department's service delivery. Successes driven by the integration of CAP Goals into HUD operations are collected across the Department and published online to showcase process improvement initiatives.[1] These case studies provide

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[1] The stories are available at https://www.hud.gov/program_offices/spm/hudsuccessstories.

insights into the steps that HUD is undertaking to protect taxpayer funds and shift resources to higher value activities through process automation and streamlining.

The content of this report is based upon the objectives published in the FY 2020 Annual Performance Plan. Within the Annual Performance Report, changes to previously published indicators and milestones are identified in the footnotes.

## Additional Information

This final section of the document includes required supporting information, including a description of HUD's data-driven management review process, a summary of both completed and upcoming evaluations and research to inform progress on our strategic goals, and a section on data validation and verification.

Section One: Agency Organization and Performance Reporting

Message from Secretary Carson

I am pleased to issue the U.S. Department of Housing and Urban Development's (HUD) Fiscal Year (FY) 2020 Annual Performance Report (APR). We have made strides in achieving HUD's mission of creating strong, sustainable, inclusive communities and quality affordable homes for all. We continue to increase access to opportunities that can help individuals and families achieve self-sufficiency. HUD strengthened our financial processes and, for the first time in eight years, the Department received an unqualified opinion on its financial statements. And, we have made significant progress in streamlining our human resources, procurement, and information technology (IT) systems.
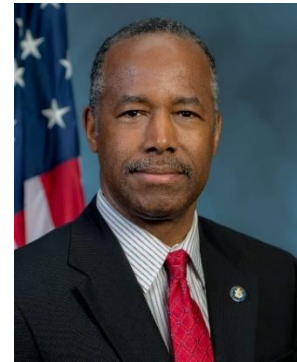
Over the past year, our nation has been plagued by the COVID-19 pandemic. HUD was appropriated approximately $12.4 billion through the Coronavirus Aid, Relief, and Economic Securities (CARES) Act to help housing programs affected by this terrible virus. To safeguard housing and ensure these funds reached our communities quickly, we created the HUD CARES ACT Compliance and Response Team (HCCRT), which is highlighted as its own section in this APR. Thanks to this task force and the continued dedication of HUD staff in serving our communities, HUD has been able to meet the Department's goals despite being faced with challenges from the virus.

Below are just a few highlights of HUD's work in FY 2020:

- Through FY 2020, HUD has provided rental assistance to approximately 4.6 million low-income households. These households include elderly residents, individuals with disabilities, and veterans. In addition, HUD transitioned 31,232 public housing units to a more sustainable financial platform.
- The Department designated a total of 62 EnVision Centers, which provide a place for people to build their skills and connect to services unique to their needs. HUD continues to designate more EnVision Centers on a rolling basis.
- Under the FY20 Lead-Based Paint Hazard Reduction Grant Program, HUD awarded state and local governments with $164 million in funds to address lead-based paint hazards, as well as other health and safety hazards in our communities.
- HUD allocated $3.8 billion in Community Development Block Grant – Disaster Recovery (CDBG-DR) funding to grantees to address disasters that occurred between 2017 and 2019. In addition to the $3.8 billion in funding, the Department provided more than 2,800 hours of technical assistance (TA) in FY20 to help support grantees' disaster recovery efforts.
- HUD's Office of the Chief Financial Officer (OCFO), co-sponsored with the Office of the Chief Information Officer (OCIO), identified over 52 processes for automation, totaling approximately 45,000 hours of staff capacity annually.
- HUD's Agency-Wide Integrity Task Force (AWITF) continued its efforts to strengthen HUD's financial stewardship of taxpayer funds through automation, policy development, and improved transparency to the public. The Advancing Economic Opportunity Task Force (AEOTF) reaffirmed HUD's commitment to low-income families through multiple self-sufficiency initiatives.

I believe that my Prescription for HUD, detailed in this report through 13 strategic objectives, has improved the livelihoods of our communities while also strengthening the way HUD operates to protect our hard-earned taxpayer dollars. While there is still work to be done, I am proud of what the Department has accomplished over the last four years.

Sincerely,

Benjamin S. Carson, Sr.

Introduction

The *Fiscal Year (FY) 2020 Annual Performance Report (APR)* for the U.S. Department of Housing and Urban Development (HUD) documents achievements with respect to the Department's FY 2020 performance targets and any revisions to the goals since their publication in the FY 2020 Annual Performance Plan (APP), which covers the agency's goals for FY 2020. This plan reflects HUD's continuing commitment to inform the American people, the Congress, its partners, and employees about the mission, goals, and work the Department seeks to accomplish.

HUD's mission is to create strong, sustainable, inclusive communities and quality affordable homes for all. HUD is working to strengthen the housing market to bolster the economy and protect consumers; meet the need for quality affordable rental homes; utilize housing as a platform for improving quality of life; build inclusive and sustainable communities free from discrimination; and transform the way HUD does business.

The President's Budget will identify additional supporting program activities and initiatives, as required under the GPRA Modernization Act, 31 U.S.C. 1115(b)(10). The public will be able to access the volume at:
https://www.gpo.gov/fdsys/browse/collectionGPO.action?collectionCode=BUDGET.

Department Structure
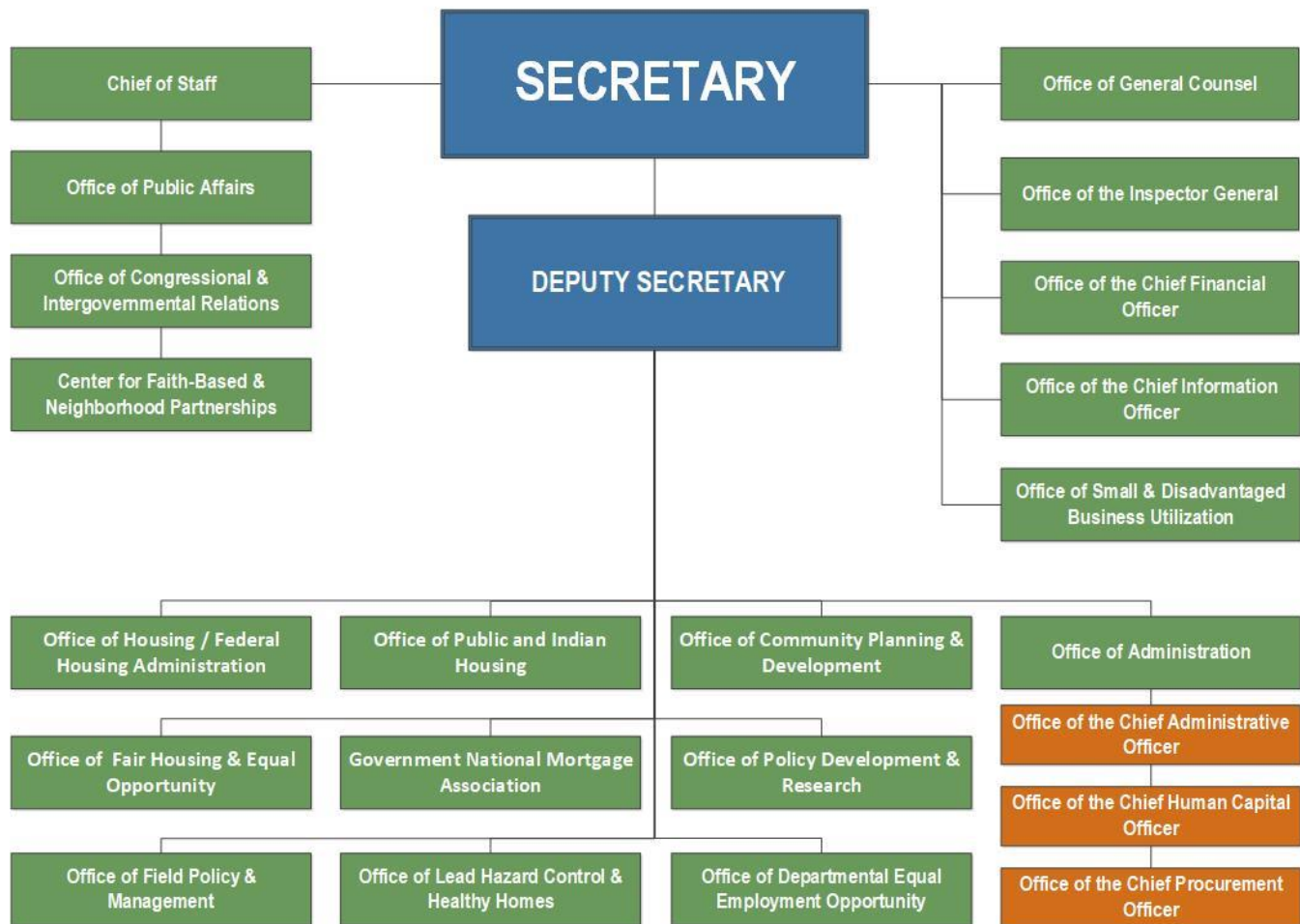
HUD, a Cabinet-level department created in 1965, is responsible for national policy and programs that address America's housing needs, improve and develop the nation's communities, and enforce fair housing laws. It accomplishes its mission through component organizations and offices that administer programs carried out through a network of regional and field offices and partnerships with other Federal agencies, state and local grantees, and for-profit, philanthropic, and non-profit organizations in the private sector.

> ▶ **Learn more about HUD's major organizational units and program offices.**
> ▶ **Learn more about HUD's regions and field offices.**

The Secretary's Prescription for HUD

Secretary Carson has coalesced his policy and management agenda into a priority structure called "The Prescription for HUD." The Prescription for HUD encompasses HUD's Agency Priority Goals and comprises three pillars: I) Advance Economic Opportunity, which empowers people to move beyond HUD assistance up the economic ladder; II) Protect Taxpayer Funds, which focuses on eliminating fraud, waste, and abuse; and III) Streamline Operations, which will radically streamline and simplify our programs and rules.

Goal I: Advance Economic Opportunity: HUD is advancing economic opportunity for low-income families through homeownership, rental assistance, workforce training, educational advancement, and health and wellness programs and services. Policy initiatives include:

1. Support Fair, Sustainable Homeownership and Financial Viability
2. Reduce Homelessness ✪
3. Remove Lead-Based Paint Hazards and Other Health Risks from Homes ✪
4. Enhance Rental Assistance ✪
    a. *Major Initiative*: Promote Economic Opportunity ✪
5. Reduce Barriers to Affordable Housing
6. Develop EnVision Centers
7. Support Effectiveness and Accountability in Long-Term Disaster Recovery
8. Promote Section 3
9. Bolster Growth in Opportunity Zones

    ✪ Indicates the Objective or Major Initiative is an Agency Priority Goal (APG)

Goal II: Protect Taxpayer Funds: HUD will improve processes and policies to enable it to meet reporting requirements while complying with laws and regulations related to all financial matters. The Department will develop new, or enhance existing, policies and procedures to provide guidance and alignment within HUD. Efforts will be driven by commitments from senior Departmental leadership; clear, concise operational planning; and focusing on the needs of end-customers. HUD will reduce fraud, waste, and abuse of taxpayers' dollars. Efforts will focus on the objective to:

10. Improve Financial Controls through Financial Transformation.
    a. *Major Initiative*: Modernize Grants Management

Goal III: Streamline Operations: HUD will examine its programs, customer needs, and employee expertise to streamline its operations. Alignment of program regulations, rules, and management activities will allow the Department's customers to access our services more easily. HUD will better align delegations of authority to prevent gaps and overlaps in responsibility while streamlining coordination. The Department will explore ways to strengthen coordination among program offices in Headquarters and the Field to ensure frontline employees are empowered to respond effectively to customers' needs. Department-wide efforts to simplify HUD's regulations, rules, and improve human capital management will support these efforts while ensuring their long-term sustainability.

HUD will streamline rules and simplify programs to better serve our customers. Efforts will focus on the objectives to:

11. Organize and Deliver Services More Effectively;
    a. *Major Initiative*: Streamline Acquisition Management.
12. Modernize Information Technology; and
13. Reform Regulations.

HUD has established two internal task forces to oversee the implementation of the Department's three strategic goals. The first is the Advancing Economic Opportunity Task Force (AEOTF) which manages all nine objectives, and one major initiative, under *Goal I: Advance Economic Opportunity*. The second is the Agency-Wide Integrity Task Force (AWITF). The Integrity Task Force oversees execution for *Goal II: Protect Taxpayer Funds* and *Goal III: Streamline Operations*. The task forces differ in that the AEOTF supervises the improvement of HUD's externally facing policies and programs while the AWITF is focused on strengthening the Department's internal management operations. Further descriptions of each task force follow on pages 12-13.

The Advancing Economic Opportunity Task Force

Beginning in FY18, HUD established the Advancing Economic Opportunity Task Force to promote self-sufficiency and financial stability among HUD-assisted residents. The task force is chaired by the Performance Improvement Officer (PIO) and led by a central steering committee, which consists of the heads of HUD's component offices. Ten project management offices (PMO) beneath the steering committee execute Department-wide efforts to: Support Fair, Sustainable Homeownership and Financial Viability; Reduce Homelessness; Remove Lead-Based Paint Hazards and Other Health Risks from Homes; Enhance Rental Assistance; Reduce Barriers to Affordable Housing Development; Develop EnVision Centers; Support Effectiveness and Accountability in Long-Term Disaster Recovery; Promote Section 3 Opportunities; Bolster Growth in Opportunity Zones; and Promote Economic Opportunity from Rental Assistance Programs.

ADVANCING ECONOMIC OPPORTUNITY TASK FORCE STRUCTURE

Advancing Economic Opportunity Task Force

Project Management Offices — Project Management Offices

Support Fair, Sustainable Homeownership and Financial Viability | Reduce Homelessness | Remove Lead-Based Paint Hazards and Other Health Risks from Homes | Enhance Rental Assistance | Promote Economic Opportunity

Reduce Barriers to Affordable Housing | Develop EnVision Centers | Support Effectiveness and Accountability in Long-Term Disaster Recovery | Promote Section 3 | Bolster Growth in Opportunity Zones

TASK FORCE MISSION STATEMENT
Empower people to move beyond HUD assistance and up the economic ladder.

The Agency-Wide Integrity Task Force

Beginning in FY18, HUD established the Agency-Wide Integrity Task Force to better protect taxpayer dollars. The task force is chaired by the Chief Financial Officer (CFO) and led by a central steering committee, which consists of the heads of HUD's component offices. Nine project management offices beneath the steering committee execute Department-wide efforts to: Improve Financial Controls through Financial Transformation; Modernize Grants Management; Strengthen Enterprise and Fraud Risk Management; Streamline Acquisition Management; Improve Hiring Processes; Reform Regulations; Utilize the Technology Modernization Fund (TMF); Advance HUD's Service Delivery Using IT Centers of Excellence (CoEs); and HUD CARES Act Compliance and Response Team (HCCRT).[2]

AGENCY-WIDE INTEGRITY TASK FORCE STRUCTURE

Agency-Wide Integrity Task Force

Project Management Offices

- Financial Transformation
- Grants Management
- Enterprise & Fraud Risk Management
- Acquisition Management
- Hiring Process Improvement
- Regulatory Reform
- Technology Modernization Fund (TMF)
- Centers of Excellence (CoE)
- HUD CARES Act Compliance and Response Team (HCCRT)

TASK FORCE MISSION STATEMENT

Align the policies, processes, and people responsible for financial reporting to protect taxpayer's funds.

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[2] HUD currently manages four CoEs, with GSA support, focused on: Data Analytics, Cloud Adoption, Customer Experience, and Contact Centers.

HUD CARES Act Compliance and Response Team

HUD was appropriated approximately $12.4 billion from the Coronavirus Aid, Relief, and Economic Security (CARES) Act to help address programs affected by the COVID-19 pandemic. This is equivalent to 22 percent of HUD's enacted appropriations for FY20 of $56.5 billion, adding pressure to use it properly. As a result, the Office of the Chief Financial Officer established the HUD CARES Act Compliance and Response Team (HCCRT) as the agency-wide framework to ensure timely distribution of funds while following the requirements of the CARES Act. HCCRT coordinated efforts throughout the Department, providing accurate and actionable CARES Act compliance and reporting guidance to mitigate potential risks. Further, the team led HUD's CARES Act management strategy by using three primary goals and objectives.

First, HCCRT ensured funding was quickly administered to its intended recipients by focusing on meeting deadlines, maximizing accuracy of funding programs, establishing communication and change activities to ensure alignment and adoption of CARES Act requirements, and reporting clear and accurate information to decision-makers and oversight stakeholders.

Second, HCCRT strengthened internal controls to maximize the effectiveness of programs and minimize the potential for fraud, waste, and abuse. Under this second goal, HCCRT provided a unified Department-wide approach to compliance for HUD and its stakeholders. It assessed HUD's internal control processes to focus on fraud, waste, and abuse. HCCRT also served as lead when responding and monitoring actions resulting from 28 United States Government Accountability Office (GAO) and Office of Inspector General (OIG) audits that were conducted during the process.

Third, HCCRT enhanced capabilities to ensure successful program results from the disbursement of CARES Act funding. The team worked to ensure that the Department had adequate staffing dedicated to addressing additional burdens as a result of the pandemic. With collaboration between OCFO, OCIO, and HUD's program offices, HCCRT strengthened its data and IT systems to enable the additional processing and reporting required by the CARES Act. Lastly, the team educated and informed HUD's programs and offices on CARES Act compliance and reporting requirements.

Accomplishments from the implementation of HCCRT in FY20 include:

- Analyzed CARES Act, Federal Funding Accountability and Transparency Act (FFATA), Payment Information and Integrity Act (PIIA) and Single Audit reporting requirements;
- Drafted CARES Act Reporting Requirements Memo to better inform HUD programs of reporting requirements to ensure compliance with regulations;
- Collaborated throughout the Department to review and discuss an efficient and effective data collection process;
- Performed initial data mapping between memo data requirements and program systems;
- Developed a Playbook for programs to identify gaps in data collection and establish mitigation plans to address these gaps;
- Provided training for stakeholders on reporting and compliance requirements with an emphasis on data accuracy, timeliness, and efficiency in reporting;
- Developed performance reporting packets for HUD program offices to assess how the dispersed funds are meeting the intended impact outlined in the CARES Act; and
- Responded to 28 in-process GAO and OIG audits and actions and completed 7 audits.

HUD's FY 2018-2022 Strategic Framework

HUD's Mission

Create strong, sustainable, inclusive communities and quality affordable homes for all.

Strategic Goal: Advance Economic Opportunity

Promote economic opportunity by encouraging self-sufficiency and financial stability among HUD-assisted residents.

Support Fair, Sustainable Homeownership and Financial Viability
Support homeownership opportunities for creditworthy borrowers, while safeguarding American taxpayers and modernizing our housing finance system.

Reduce Homelessness ✪
Prevent homelessness whenever possible. Quickly help Americans who become homeless to ensure such experiences are brief and non-recurring.

Remove Lead-Based Paint Hazards and Other Health Risks from Homes ✪
Protect the health of occupants by addressing lead-based paint and other health and safety hazards in housing.

Enhance Rental Assistance ✪
Enhance and reform our rental assistance programs by providing sustainable models to empower communities to address local affordable housing needs.

Reduce Barriers to Affordable Housing
Identify barriers and incentivize the reduction of barriers to the supply of available affordable housing.

Develop EnVision Centers
Develop a model that provides communities an EnVision Center network that optimizes services to empower households to be self-sufficient.

Support Effectiveness and Accountability in Long-Term Disaster Recovery
Facilitate housing, infrastructure, and economic recovery while ensuring investments mitigate against future disasters and create resilient communities.

Promote Section 3
Assess, improve, and promote Section 3 to serve more eligible residents.

Bolster Growth in Opportunity Zones
Optimize current HUD programs, policies, and grants to bolster Opportunity Zone investments, where program objectives align.

✪ These objectives include a FY20-21 Agency Priority Goal.

* These objectives reflect FY18-22 HUD management objectives.

Strategic Goal: Protect Taxpayer Funds

Align the policies, processes, and people responsible for financial reporting to protect taxpayer's funds.

Improve Financial Controls through Financial Transformation*
Streamline and improve our financial management to reduce material audit weaknesses; increase transparency; and ensure strong stewardship of Federal resources.

Strategic Goal: Streamline Operations

Radically simplify rules and streamline programs to better serve our customers.

Organize and Deliver Services More Effectively*
Optimize service delivery and decision-making to better meet customer needs.

Modernize Information Technology*
Strengthen tools and processes to improve IT service to internal and external customers.

Reform Regulations*
Empower our partners and customers by reducing burdensome regulations.

✪ These objectives include a FY20-21 Agency Priority Goal.

* These objectives reflect FY18-22 HUD management objectives.

Section Two: Strategic Objectives, Performance Indicators, and Cross-Agency Priority Goals

1/15/2021 U.S. Department of Housing and Urban Development

Strategic Goal I: Advance Economic Opportunity

Promote economic opportunity by encouraging self-sufficiency and financial stability among HUD-assisted residents.

GOAL

The Advance Economic Opportunity Goal is focused on changing the narrative for those living in homes with HUD assistance from reliance to self-sufficiency. Each of these initiatives focuses on programs that will actively and realistically improve the lives of those living in homes with HUD assistance.

This goal consists of nine objectives and one major initiative:

1. Support Fair, Sustainable Homeownership and Financial Viability
2. Reduce Homelessness
3. Remove Lead-Based Paint Hazards and Other Health Risks from Homes
4. Enhance Rental Assistance
   a. *Major Initiative:* Promote Economic Opportunity
5. Reduce Barriers to Affordable Housing
6. Develop EnVision Centers
7. Support Effectiveness and Accountability in Long-Term Disaster Recovery
8. Promote Section 3
9. Bolster Growth in Opportunity Zones

LEADING THIS GOAL
Goal Lead
Irving Dennis
Chief Financial Officer
Department of Housing and Urban Development
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Performance Improvement Officer
Department of Housing and Urban Development

1. Strategic Objective: Support Fair, Sustainable Homeownership and Financial Viability

Support homeownership opportunities for creditworthy borrowers, while safeguarding American taxpayers and modernizing our housing finance system.

2020 APR PROGRESS UPDATE

During FY 2020, the Federal Housing Administration (FHA) continued its multiyear effort to modernize its IT infrastructure and streamline the process for doing business with FHA. FHA implemented the first four modules of the new *FHA Catalyst* system, enabling lenders to electronically submit case binders, supplemental claims, appraisal documentation, and reacquisition claims to FHA for review. The 2021 Budget requests the third $20 million installment of this four-year plan to modernize FHA single-family systems.

LEADING THIS OBJECTIVE
Objective Lead
Dana Wade
Assistant Secretary / Federal Housing Commissioner
Office of Housing

FHA has made significant strides to improve regulatory clarity within its programs in accordance with HUD's recommendations for housing finance reform. On October 28, 2019, HUD and the U.S. Department of Justice signed a landmark Memorandum of Understanding on the appropriate use of the False Claims Act for violations of FHA requirements by FHA-approved lenders.[3] On January 2, 2020, FHA published an update to its defect taxonomy, the method FHA uses to identify defects at the loan level, to ensure that lenders have clearer and more consistent guidance regarding defects and severities.[4]

HUD, as the regulator for interstate manufactured housing, has taken several steps to ensure that manufactured housing is a thriving source of affordable, quality, durable, and safe housing for Americans. For example, on January 30, 2020, HUD published the proposed rule for the third set of Manufactured Housing Construction and Safety Standards to improve the efficiency of construction and align the standards with industry best practices.

In addition, HUD has worked to reduce the backlog of Real-Estate Owned (REO) properties and reduce the regulatory and cost burdens of asset disposition. On July 7, 2020, FHA published updated Claims without Conveyance of Title (CWCOT) procedures to increase recoveries and reduce administrative, holding, and servicing costs associated with the lengthy conveyance and REO disposition process.[5]

During times of economic stress, FHA mortgage insurance and the Government National Mortgage Association (Ginnie Mae) guaranty of mortgage-backed securities (MBS) provides confidence and liquidity to the market, when many actors might have otherwise exited, so that ready borrowers and the housing sector can continue to contribute to the strength of the United States economy.

COVID-19 Impacts and Response

Following the declaration of the COVID-19 National Emergency Declaration on March 13, 2020, FHA acted swiftly to safeguard the housing market. Key challenges included the prevention of a foreclosure surge caused by the economic impact of COVID-19 and the impact of social distancing on underwriting and operations.

On March 18, 2020, FHA implemented a temporary foreclosure and eviction moratorium on all FHA-insured single-family mortgages. As of December 22, 2020, this has been extended through February 28, 2021. On March 27, 2020, FHA announced temporary single family underwriting flexibilities to accommodate social

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[3] MOU can be found here: https://www.hud.gov/sites/dfiles/SFH/documents/sfh_HUD_DOJ_MOU_10_28_19.pdf.
[4] Updates can be found here: https://www.hud.gov/sites/dfiles/OCHCO/documents/2020-31hsgmlatch.pdf.
[5] https://www.hud.gov/sites/dfiles/OCHCO/documents/20-21hsgml.pdf.

distancing during the COVID-19 National Emergency. As of December 22, 2020, this has been extended to February 28, 2021. On April 1, 2020, FHA implemented the mortgage forbearance provisions provided in the Coronavirus Aid, Relief, and Economic Security (CARES) Act that President Trump signed into law on March 27, 2020. On June 4, 2020, FHA issued guidance to allow the endorsement of single family mortgages placed in forbearance due to COVID-19.[6] As of December 22, 2020, this has been extended through March 31, 2021. On July 8, 2020, FHA expanded and streamlined the loss mitigation options available to borrowers who obtained the CARES Act forbearance but may not qualify for the COVID-19 Standalone Partial Claim to resolve the outstanding missed payments.[7] On July 29, 2020, FHA announced temporary guidance for verifying the stability of income from self-employed single family borrowers and borrowers with rental income during the COVID-19 National Emergency.[8]

STRATEGIES AND MAJOR MILESTONES[9]

Strategies	Major Milestones
Work with stakeholders and Congress to pursue housing finance reform that ensures more transparency and accountability to taxpayers and minimizes the risk of taxpayer-funded bailouts, while maintaining responsible and sustainable support for homeowners.	**1/2/2020:** Publish Defect Taxonomy version 2 to provide clearer and more consistent guidance to lenders. – *Achieved as of 1/2/2020.*
Improve FHA underwriting guidelines, lending standards, and servicing protocols to serve the needs of borrowers, protect taxpayers, and ensure the sustainability of the program.	**6/30/2020:** Publication of proposed Down Payment Assistance Rule. – *Delayed to 1/31/2021*[10] **7/7/2020:** Publication of updated Claims Without Conveyance of Title (CWCOT) procedures. – *Achieved as of 7/7/2020*
Safeguard the Housing Market during the COVID-19 National Emergency.[11]	**3/18/2020:** Implemented Foreclosure and Eviction Moratorium. – *Achieved as of 3/18/2020* **3/27/2020:** Announced temporary single family underwriting flexibilities. – *Achieved as of 3/27/2020* **4/1/2020**: Implemented the mortgage forbearance provisions provided in the CARES Act. – *Achieved as of 4/1/2020* **6/4/2020:** Issued guidance for the endorsement of single-family mortgages placed in forbearance due to COVID-19. – *Achieved as of 6/4/2020*

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[6] Guidance can be found here: https://www.hud.gov/sites/dfiles/OCHCO/documents/2020-16hsngml.pdf.
[7] Guidance can be found here: https://www.hud.gov/sites/dfiles/OCHCO/documents/20-22hsgml.pdf..
[8] Guidance can be found here: https://www.hud.gov/sites/dfiles/OCHCO/documents/2020-24hsgml.pdf.
[9] The FY19 APP included a strategy related to expanding collaboration between FHA and Ginnie Mae. This metric has been discontinued for FY20.
[10] Milestone language has changed from the FY20 Annual Performance Plan. The milestone was previously listed as "Evaluate Forward Book Down Payment Assistance Programs." There are currently ongoing discussions on publication of the proposed rule with the Office of Management and Budget (OMB), which will allow FHA to gather public feedback for consideration of a final rule.
[11] Additionally, Office of Native American Programs (ONAP) COVID-19 recovery programs can be found here: https://www.hud.gov/program_offices/public_indian_housing/ih/COVID_Recovery.

	7/8/2020: Issued expanded and streamlined loss mitigation options for borrowers in forbearance. – *Achieved as of 7/8/2020*
	7/28/2020: Issued temporary guidance for verifying the stability of income from self-employed single-family borrowers and borrowers with rental income. – *Achieved as of 7/28/2020*
Modernize FHA's IT systems to address a catastrophic imbalance of technology and resources.	**4/6/2020:** Implement *FHA Catalyst*: Case Binder Module and *FHA Catalyst:* Claims Module. – *Achieved as of 4/6/2020*
	6/12/2020: Expand *FHA Catalyst* Claims Module to include loss mitigation home retention claims. – *Achieved as of 6/12/2020*
	8/18/2020: Implement *FHA Catalyst:* Electronic Appraisal Delivery Module. – *Achieved as of 8/18/2020*
	9/28/2020: Extend the FHA Catalyst functionality to include reacquisition claims by mortgagees. – *Achieved as of 9/28/2020*

KEY PERFORMANCE INDICATORS

To help achieve this objective, HUD has established the following performance indicators:

▶ **Capital Reserve Ratio[12]**
   HUD will maintain a capital reserve ratio that meets or exceeds the statutory minimum requirement.[13]

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
2.35%	2.18%	2.76%	4.84%	6.1%	≥2.0%

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[12] Capital Reserve Ratio can be found on page 116 of the Annual Report to Congress Regarding the Financial Status of the FHA Mutual Mortgage Insurance Fund here: https://www.hud.gov/sites/dfiles/Housing/documents/2020FHAAnnualReportMMIFund.pdf.
[13] This measure compares the "economic net worth" of the Mutual Mortgage Insurance (MMI) Fund to the dollar balance of active, insured loans at a point in time. The two percent target is the statutory requirement for the fund.

OTHER INDICATORS

▶ **90-Day Early Payment Default Rate[14]**
This measure is reflective of the credit quality of new endorsements and serves as an important early indicator of mortgage performance.[15]

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
0.4%	0.77%	0.65%	0.69%	4.87%	Tracking Only

▶ **Percentage of new FHA-insured purchase mortgages that are first-time homebuyers[16]**
This measure computes the percentage of FHA single-family purchase originations for which the borrower is a first-time homebuyer.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
82.1%	82.2%	82.7%	82.8%	83.1%	Tracking Only

▶ **FHA market-share of single-family mortgage originations (purchase, refinance, and total) [17]**
This measure tracks the FHA share of the mortgage market.[18]

	FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	CY20 Target
Total market-share of single-family originations for FHA	13.4%	13.25%	12.07%	11.34%	9.61%	Tracking Only
Market-share of single-family originations for FHA (Purchase)	17.4%	15.54%	13.45%	12.30%	13.45%	Tracking Only
Market-share of single-family originations for FHA (Refinance)	9.0%	9.66%	8.99%	9.26%	6.83%	Tracking Only

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[14] https://www.hud.gov/sites/dfiles/Housing/documents/2020FHAAnnualReportMMIFund.pdf (page 105).
[15] HUD will support sustainable loans that borrowers can afford. Under the Single Family Handbook 4000.1, Early Payment Defaults refer to loans that are 60 days delinquent within the first six payments. For the purposes of risk management, FHA monitors loans that are 90 days delinquent within the first six payments (90-Day Early Payment Defaults). The 90-Day Early Payment Defaults (EPDs) occur when a borrower becomes 90 days delinquent on their FHA-insured mortgage within the first six payments.
[16] https://www.hud.gov/sites/dfiles/Housing/documents/2020FHAAnnualReportMMIFund.pdf (page 8).
[17] https://www.hud.gov/sites/dfiles/Housing/documents/2020FHAAnnualReportMMIFund.pdf (page 90).
[18] HUD monitors FHA's role in the housing market and the potential crowding out of private capital. HUD does not maintain any market share goals, and only tracks these data points for informational purposes. Beginning in the FY21 APR, this metric will no longer be tracked.

▶ **Higher Risk Loans**

HUD will monitor the percentage of loans with higher risk features. Metrics include the share of FHA-insured home purchase loans with debt to income (DTI) greater than 50 percent or with down payment assistance (DPA) and the share of FHA refinances that include cash-outs.

	FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
Share of FHA purchase loans with (DTI) >50%[19]	16.3%	20.3%	24.8%	26.7%	24.53%	Tracking Only
Share of FHA purchase loans with DPA (including secondary financing)[20]	38.5%	38.4%	38.8%	39.3%	39.8%	Tracking Only
Share of FHA refinance loans with cash-outs[21]	26.1%	38.9%	63.3%	64.7%	24.08%	Tracking Only

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[19] https://www.hud.gov/sites/dfiles/Housing/documents/2020FHAAnnualReportMMIFund.pdf (page 13).
[20] https://www.hud.gov/sites/dfiles/Housing/documents/2020FHAAnnualReportMMIFund.pdf (page 26).
[21] https://www.hud.gov/sites/dfiles/Housing/documents/2020FHAAnnualReportMMIFund.pdf (page 25).

2. Strategic Objective: Reduce Homelessness

> Prevent homelessness whenever possible. Quickly help Americans who become homeless to ensure such experiences are brief and non-recurring.

✪ **Agency Priority Goal for FY20-21: By September 30, 2021, reduce the average length of homelessness in communities by an average of three days from FY19.** ✪

2020 APR PROGRESS UPDATE

At the start of FY20, 78 communities and three states had declared an effective end to veteran homelessness. Four communities had ended chronic homelessness. Despite impacts of COVID-19, many of these communities have maintained that status. HUD will push to continue this movement by applying, on a national scale, lessons learned from the work on veteran homelessness and best practices from local communities that are rolling out innovative, cost-effective solutions.

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<tr><td>LEADING THIS OBJECTIVE</td></tr>
<tr><td>Objective Lead
John Gibbs
Acting Assistant Secretary
Office of Community Planning and Development</td></tr>
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Knowledge will be shared across communities through several targeted technical assistance (TA) efforts, each customized to serve the target community and population. Two TA initiatives, outlined in the FY19 Annual Performance Plan, are proceeding. Communities are engaged and implementing strategies that target: 1) people experiencing unsheltered homelessness and 2) people in permanent supportive housing programs that no longer need intensive supportive services and can move to housing that meets their lower service needs and is more cost-effective.

Earlier this year, HUD awarded $2.286 billion through the FY 2019 Continuum of Care (CoC) Program Competition to address homelessness. The FY 2019 CoC Program Competition provided added emphasis to employment and self-sufficiency as well as better addressing racial disparities in the homeless response system. The enhanced focus on these critical issues will lead to greater efforts with existing and future funding to provide everyone experiencing homelessness, regardless of race and ethnicity, a greater opportunity to access employment, supportive services, and housing to achieve independence.

COVID-19 Impacts and Response

The Centers for Disease Control and Prevention (CDC) identified people experiencing homelessness as being at high risk of infection of COVID-19. HUD committed to helping communities protect people experiencing homelessness and reduce the spread of COVID-19.

Under the CARES Act, Congress appropriated $4 billion in funding through HUD's Emergency Solutions Grants (ESG) program. HUD awarded $3.96 billion to communities to prepare for, prevent, and respond to COVID-19. The remaining $40 million is funding TA to help communities most effectively spend this money. HUD issued waivers to ESG and CoC Program recipients to have greater flexibility with their funding from prior years. On September 1, 2020, HUD published the Emergency Solutions Grants Program under the Coronavirus Aid, Relief, and Economic Security Act (ESG-CV) Notice, outlining how they can spend that funding under the CARES Act.

From the beginning of the pandemic, HUD prioritized working with Federal partners, especially CDC, to understand how best to serve the homeless amidst this pandemic and then to share that information with as many stakeholders as possible. HUD coordinates regularly with key Federal partners, including CDC, the Federal Emergency Management Agency (FEMA), and the Red Cross, to understand the latest updates on COVID-19 and how to use the most current information to protect people experiencing homelessness. This effort has led to

guidance documents on how best to address both sheltered and unsheltered homeless situations and what kinds of protective efforts should be instituted to keep everyone safe.

HUD's Office of Special Needs Assistance Programs (SNAPS) provides funding to states and local governments and non-profit providers to serve individuals and families across the U.S. who are affected by homelessness. Some of the programs offered by SNAPS focus on rapid rehousing, transitional housing, and ending youth and veteran homelessness. SNAPS host weekly office hours to create a trusted platform through which they provide the most current information about COVID-19, along with strategies to address COVID-19 among people experiencing homelessness. These office hours include HUD, CDC, the Department of Veterans Affairs (VA), and other Federal, state, and community partners who give updates on best practices and how their programs can be used to assist people experiencing homelessness. These office hours also often include state and local stakeholders sharing best practices they have implemented. SNAPS also host other webinars for specialized topics (e.g., ESG-CV Notice) as needed.

SNAPS' main webpage, Disease Risks and Homelessness, is where HUD centralizes all COVID-19 guidance documents and resources in a single, accessible web-based location.[22] The resources on this page were created by teams of experts who are SNAPS TA providers and CDC staff, as well as state and local partners.

SNAPS continue to provide a direct, one-on-one TA approach targeted to communities with the highest risks of COVID-19 outbreaks due to the size of their homeless population. TA efforts also focus on helping communities protect people experiencing homelessness from COVID-19 and how to strategically use stimulus resources to rehouse them. Through the TA strategy, HUD has provided TA expertise and support to over 50 communities to think through issues and guide communities on how to quickly and safely house those experiencing homelessness and prevent COVID-19 outbreaks. HUD has used the lessons learned from these efforts to educate other communities on best practices.

STRATEGIES AND MAJOR MILESTONES

Strategies	Major Milestones
Create an unsheltered homelessness strategy that targets technical assistance and other resources to communities that have had large increases in unsheltered homelessness.	**2/28/2020:** Prioritize efforts to address unsheltered homelessness in the CoC Program Competition and encourage communities to combine health care and housing services targeted to serve people experiencing unsheltered homelessness. – *Delayed until 7/31/2021*[23] **3/31/2020:** Publish Notice for Further Comment on the Continuum of Care (CoC) Interim Rule. – *Delayed until 9/30/2021*[24] **9/30/2020:** Publish Emergency Solutions Grants Rule. – *Delayed until 10/31/2021*[25]

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[22] The SNAPS main webpage can be found here: https://www.hudexchange.info/homelessness-assistance/diseases/.

[23] HUD is addressing this milestone through targeted TA that combines healthcare and housing services for those experiencing unsheltered homelessness. Additionally, HUD is working on a Notice of Funding Opportunity (NOFO) to fund projects that address this need, but this NOFO is on hold so communities can focus on their COVID-19 response.

[24] The anticipated publication date has been pushed back due to capacity challenges within communities. The delay has been further impacted by HUD and communities' response to COVID-19 activities.

[25] This has been delayed by HUD and communities' response to COVID-19 activities. The delay has been further impacted by HUD's fall regulatory agenda being pushed to October 2021.

Increase leasing of HUD-Department of Veterans Affairs Supportive Housing (HUD-VASH) vouchers in areas with low utilization.[26]	**3/1/2020:** Update HUD Field Office Monitoring Protocol document for Public Housing Agencies (PHAs) with low utilization as a part of increasing monitoring and technical assistance efforts. – *Achieved as of 3/1/2020*
	9/1/2020: Highlight the option of HUD-VASH Continuum, as well as the lessons learned and challenges, at industry conferences and outreach through Federal and local partners.[27] – *Delayed until 9/1/2021*[28]
	9/30/2020: Issue additional guidance to promote the use of project-based conversions of existing HUD-VASH vouchers, especially in high-cost, low-vacancy areas. – *Delayed until 3/31/2021*[29]
Fight substance abuse and combat the opioid crisis by engaging stakeholders to support collaboration.	**3/31/2020:** Launch the Substance Abuse Recovery Housing program. – *Achieved 11/24/2020*[30]
	9/30/2020: Conduct five interagency meetings focused on integrating HUD programs into Federal-wide substance abuse programs. – *Achieved as of 8/15/2020*

KEY PERFORMANCE INDICATORS

To help achieve this objective, HUD has established the following performance indicators:

✪ **Length of homelessness[31]**

This measure will track the national average length of homelessness in CoCs.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
151	174	164[32]	168	*TBD*[33]	165

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[26] HUD has shifted its strategy to improving voucher utilization rates, as HUD continues to get new allocations, and ensuring that vouchers are being fully used in areas that have need.

[27] HUD-VASH Continuum is a flexibility under the existing HUD-VASH statute that gives the VA the ability to designate a CoC service provider to act on behalf of the VA, which enables them to serve veterans who are ineligible for VA medical services.

[28] The intent of this item was to cite specific presentations and materials offered at industry conferences, and other outreach. However, with most conferences not taking place this year, and none taking place in person, completion of this milestone has been delayed.

[29] The timeline for additional, formal, PIH-specific guidance has been pushed back from 9/30/2020 to reflect the shift in priorities due to COVID-19.

[30] Coronavirus pandemic response, specifically release of $9 billion in CARES Act funds for Community Planning and Development (CPD), took priority for staff, which delayed the release of the Recovery Housing Program. Additionally, grantees were fully engaged with pandemic response and were not prepared for the launch of a Recovery Housing Program during their response efforts.

[31] The length of time used to calculate homelessness is based on the average length of time people in the CoC are served in emergency shelter, transitional housing, and safe haven programs and does not include the time people are sleeping in unsheltered homeless situations.

[32] Each data submission period, HUD allows CoCs to update the previous year's data. This change from the previous report is due to the updated FY18 data CoCs submitted.

[33] System Performance Measures are submitted by CoCs to HUD each April on the last complete fiscal year, and then must go through a limited validation process. Thus, FY20 actuals will be available in August 2021.

▶ **Number of people experiencing homelessness**
This measure will annually track the number of people experiencing homelessness in the Point-in-Time (PIT) count, a count taken on a single night in January each year.[34]

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
549,928	550,996	552,830	567,715	TBD[35]	565,000

▶ **Number of people experiencing unsheltered homelessness**
This measure will annually track the number of people experiencing unsheltered homelessness in the PIT count, a count taken on a single night in January each year.[36]

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
176,357	190,129	194,467	211,293	TBD[37]	210,000

OTHER INDICATORS

▶ **Returns to homelessness**
This measure will track the national average percentage of people returning to homelessness within 6 months in CoCs.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
14.3%	13.8%	13.5%[38]	13.9%	TBD[39]	Tracking Only

▶ **Percentage of units of permanent supportive housing serving people experiencing chronic homelessness**
This measure will track the proportion of permanent supportive housing units serving people experiencing chronic homelessness.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
52%	57%	61.3%[40]	63.7%	TBD[41]	Tracking Only

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[34] PIT count dates may occur at such other times as approved by HUD. PIT counts are required every other year; however, most communities conduct the counts annually and HUD reports the data annually.
[35] Due to COVID-19, HUD extended the data submission timeline for CoCs. HUD anticipates this data will be available in February 2021.
[36] PIT count dates may occur at such other times as approved by HUD. PIT counts are required every other year; however, most communities conduct the counts annually and HUD reports the data annually.
[37] Due to COVID-19, HUD extended the data submission timeline for CoCs. HUD anticipates this data will be available in February 2021.
[38] Each data submission period, HUD allows CoCs to update the previous year's data. This change from the previous report is due to the updated FY18 data CoCs submitted.
[39] FY20 actuals will be available in August 2021.
[40] This data was updated to include data from grants that were awarded later due to natural disasters.
[41] FY20 actuals will be available in May 2021.

▶ **Percentage of exits from CoC-funded permanent supportive housing to rental assistance with other subsidies**

This measure will track exits from CoC-funded proportion of permanent supportive housing to less service-intensive housing subsidies.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
17.7%	18.5%	19.0%	19.2%	*TBD[42]*	Tracking Only

▶ **Percentage of admissions to core housing programs who were homeless at admission**

This measure will track the proportion of households admitted into core rental assistance (Housing Choice Vouchers, Public Housing, Multifamily Housing) programs who were experiencing homelessness at point of entry in programs.

Program	FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual[43]	FY20 Target
Housing Choice Vouchers	7.3%	7.6%	9.1%	10.7%	*TBD*	Tracking Only
Public Housing	6.4%	7.7%	8.5%	7.7%	*TBD*	Tracking Only
Multifamily Housing Programs	0.3%	0.3%	0.6%	0.7%	*TBD*	Tracking Only

▶ **Homeless Management Information System (HMIS) bed coverage rates in rural CoCs**

This measure will track the percentage of available beds in rural CoCs for which coverage data are being reported into the Homeless Management Information System (HMIS), as a proxy for these communities' level of capacity and coordination with other homeless services providers.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
72.1%	71.2%	74.3%	75.5%	*TBD[44]*	Tracking Only

▶ **HUD-VASH Utilization**

This measure will track the number of HUD-VASH vouchers currently leased as a proportion of all allocated and active HUD-VASH vouchers.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
91.8%	91.3%	88.7%	80.1%	*TBD[45]*	Tracking Only

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[42] FY20 actuals will be available in July 2021.
[43] FY20 actuals will be available in January 2021.
[44] Due to COVID-19, HUD extended the data submission timeline for CoCs. HUD anticipates this data will be available in February 2021.
[45] FY20 actuals will be available in January 2021.

► **Continuum of Care metrics for substance abuse**[46]
This measure will track the percentage of individuals supported through Continuums of Care who report substance abuse issues.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	25.2%	23.2%	22.5%	Tracking Only

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[46] This metric did not exist in FY18. As such, data prior to FY18 was not previously tracked as part of HUD's annual performance plans.

3. Strategic Objective: Remove Lead-Based Paint Hazards and Other Health Risks from Homes

> Protect the health of occupants by addressing lead-based paint and other health and safety hazards in housing.

✪ **Agency Priority Goal for FY20-21: By September 30, 2021, protect families from lead-based paint and other health hazards by making an additional 17,800 at-risk housing units healthy and lead-safe.** ✪

2020 APR PROGRESS UPDATE

HUD and its partner agencies are implementing the Lead Action Plan to Reduce Childhood Lead Exposures and Associated Health Impacts (Federal Lead Action Plan) issued by the President's Task Force on Environmental Health Risks and Safety Risks to Children in December 2018.[47] The Federal Lead Action Plan is a blueprint for reducing lead exposure and associated harms by working internally, across agencies, and with a range of stakeholders, including states, tribes, local communities, businesses, property owners, and parents.

LEADING THIS OBJECTIVE
Objective Lead
Michelle Miller
Acting Director
Office of Lead Hazard Control and Healthy Homes

HUD and the Department of Justice (DOJ) are overseeing implementation of a 2019 agreement by the New York City Housing Authority (NYCHA) to spend $2.2 billion over 10 years to address longstanding serious health and safety hazards at its public housing developments.[48] Monitoring of NYCHA's efforts involves several HUD Offices, including the Office of Public and Indian Housing (PIH), the Office of Lead Hazard Control and Healthy Homes (OLHCHH), the Office of Field Policy and Management (FPM), and the Office of the General Counsel (OGC), as well as HUD's interagency partners DOJ and the Environmental Protection Agency (EPA).

HUD made several important award announcements in FY20 regarding the Department's grant programs for addressing housing-related health and safety hazards. In September 2020, HUD awarded $164 million under the FY20 Lead-Based Paint Hazard Reduction grant program. Of this amount, $147 million was dedicated to state and local governments to address lead-based paint hazards in older homes of low-income families whose housing does not receive HUD assistance, and $18 million was for Healthy Homes Supplemental funding to address other housing-related health and safety hazards in homes in which they are performing lead hazard reduction work. In September 2020, the Department awarded $14 million under its FY20 Healthy Homes Production grant program to identify and address home health and safety hazards in tribal communities. By the second quarter of FY21, HUD expects to award grants under its FY20 Healthy Homes and Weatherization Coordination and Older Adult Home Modification grant programs.

The Department awarded $9.4 million to 13 universities and public health organizations under its FY20 Lead Technical Studies ($3.8 million) and Healthy Homes Technical Studies ($5.6 million) grant programs in September 2020. The programs support HUD's healthy housing efforts by researching better methods for identifying and controlling residential health and safety risks. The FY20 lead research grants will focus on developing and evaluating more efficient methods for evaluating lead-based paint hazards in homes; the healthy

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[47] The President's Task Force on Environmental Health Risks and Safety Risks to Children includes 17 Federal Agencies and offices. HUD, the Environmental Protection Agency (EPA), and the Department of Health and Human Services (HHS) co-chair the Task Force's Lead Subcommittee. See https://ptfceh.niehs.nih.gov/.

[48] Issues to be addressed include lead-based paint hazards, mold, pests, heating failures, and elevator heating system problems. See www.hud.gov/press/press_releases_media_advisories/HUD_No_19_004 for the agreement.

homes research grants will be focused on identifying and controlling hazards caused by mold, secondhand tobacco smoke, and other indoor contaminants.

COVID-19 Impacts and Response:

Significant portions of hazard evaluation and control work on lead-based paint and other housing-related health and safety hazards require close person-to-person interaction among staff and clients. HUD's current performance toward achieving this strategic objective is hindered by governmental stay-home orders and cautiousness among a majority of the public and business owners. As a result of this cautiousness, many state, local, and tribal government agencies, and community-based organizations, whose work supports attainment of this strategic objective, are operating at reduced function; many contractors performing this work are operating at reduced function or not at all; and many housing owners/managers are reluctant about contractors entering.

HUD is developing technical guidance on balancing coronavirus safety and lead safety and is recognizing COVID-19 program effects as reasonable bases for performance period extensions for lead and healthy homes grants and contracts.

STRATEGIES AND MAJOR MILESTONES

Strategies	Major Milestones
Increase community awareness of lead and other health and safety hazards in homes to increase participation in HUD and stakeholder programs and services.	**9/30/2020**: Train 750 stakeholders (and post training materials online) on lead and other health and safety hazards and mitigation measures, including Lead Safe Housing Rule compliance. – *Achieved as of 9/30/2020*
Design and deliver targeted lead and healthy homes programs through improvements in data quality and access.	**9/30/2020:** Draft data-sharing agreements with HHS and/or states for children with Blood Lead Level (BLL) >5 mcg/dL also receiving Medicaid or enrolled in Head Start/Early Head Start programs. – *Delayed until 9/30/2022[49]*
Leverage HUD's relationships with stakeholders across public and private sectors to maximize the impact of every dollar invested in lead, health, and safety activities.	**6/30/2020:** Publish FY20 Lead Hazard Reduction NOFO.[50] – *Achieved as of 6/30/2020* **9/30/2020:** Award FY20 Lead Hazard Reduction NOFO grants. – *Achieved as of 9/30/2020* **12/31/2020**: Publish FY20 Healthy Homes and Weatherization Coordination Program NOFO. – *Achieved as of 9/10/2020*
Advance the research agenda on the effects, evaluations, and control of lead and other health and safety hazards in housing and the impacts on resident health.	**6/30/2020**: Publish FY20 Lead and Healthy Homes Technical Studies NOFO. – *Achieved as of 6/30/2020* **6/30/2020:** Develop with CDC and other agencies a research agenda on a variety of housing-related

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[49] Privacy issues, including under the Health Insurance Portability and Accountability Act of 1996 (HIPAA), remain substantial implementation obstacles. To help achieve the intended goal, HUD is working with states directly as well as with HHS. The deadline has been further postponed to the end of FY 2022 because of the intensive involvement of HHS and state health departments, all of which are heavily involved with responding to the COVID-19 pandemic.
[50] Per revisions to 2 CFR effective on August 13, 2020, the term *Notice of Funding Availability (NOFA)* has been revised to the broader term *Notice of Funding Opportunity (NOFO)*.

health and safety programs and interventions. – *Delayed until 3/30/2022[51]*

9/30/2020: Award FY20 Lead and Healthy Homes Technical Studies grants. – *Achieved as of 9/30/2020*

KEY PERFORMANCE INDICATORS

To help achieve this objective, HUD has established the following performance indicator:

✪ **Number of at-risk housing units made healthy, physically safe, and lead-safe each year**
The number of housing units made healthy and lead-safe through HUD's Lead Hazard Control Grants, Healthy Homes Grants, Lead Disclosure Rule Enforcement, and Lead Safe Housing Rule Enforcement.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
20,072	17,940	15,607	13,076	10,106	8,900[52]

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[51] The relevant CDC and National Institute of Environmental Health Sciences (NIEHS) offices are focusing on COVID-19, as are, to a lesser extent, the EPA offices, slowing progress.
[52] FY20 target does not include contributions from CPD programs (i.e. Lead Disclosure Rule Enforcement and Lead Safe Housing Rule Enforcement) due to the President's Budgets recommendations to eliminate HOME and CDBG funding for FY20 and 21.

4. Strategic Objective: Enhance Rental Assistance

Enhance and reform our rental assistance programs by providing sustainable models to empower communities to address local affordable housing needs.

✪ **Agency Priority Goal for FY20-21: By September 30, 2021, enhance rental assistance by transitioning an additional 64,550 Public Housing units to a more sustainable platform.[53]**✪

2020 APR PROGRESS UPDATE

Through FY20, HUD provided rental assistance to approximately 4.6 million low-income households, including programs for elderly residents, individuals with disabilities, and Veterans. The Public Housing program provides affordable housing to nearly one million families nationwide.[54] HUD set a goal to Enhance Rental Assistance in FY20 by transitioning 30,250 Public Housing units to a more sustainable platform. This goal

LEADING THIS OBJECTIVE
Objective Lead
Dominique Blom
Acting Assistant Secretary
Office of Public and Indian Housing

was exceeded in FY20 Q4 and HUD reached 31,232 units transitioned. HUD optimized existing programs and published notices with supplemental guidance on how to best reposition public housing properties, with a focus on increasing PHA flexibility and streamlining HUD processes. Under these revised policies PHAs and their communities have more control over their affordable housing and greater access to critical financial resources to recapitalize the portfolio.

HUD deployed a range of TA materials and tools designed to encourage the transition of Public Housing units into revitalized affordable housing. The Department procured a TA provider to develop resources for PHAs. Support provided to PHAs included one-on-one TA to forty PHAs of any size, four Introduction to repositioning webinars, six repositioning webinars on specific topics, virtual repositioning roundtables, three in-person field office trainings, and joint presentations between the Office of Recapitalization team and Special Applications Center. In addition to these activities, HUD also continued to update its Public Housing Repositioning website with Frequently Asked Questions (FAQs), case studies and training videos.[55]

Field staff engaged in the implementation of new policies and communicated potential options for PHAs to explore throughout FY20. The Streamlined Voluntary Conversion Notice provided more options to small PHAs to reposition their public housing.[56] The Rental Assistance Demonstration (RAD) Revision 4 Notice reduced processing burdens. It also allowed PHAs to implement new flexibilities to facilitate conversions of Public Housing to Project-Based Voucher (PBV) or Project-Based Rental Assistance (PBRA).[57]

COVID-19 Impacts and Response

COVID-19 presented several challenges related to HUD's repositioning goal: the inability of having contractors on site, delays in the building supply chain, and navigating environmental review requirements remotely. Despite these challenges, HUD was able to exceed the FY20 goals because of work performed in the previous quarters leading up to the pandemic. Additionally, thanks to the outreach and trainings performed by HUD field staff and technical experts, a robust pipeline had been created when HUD pivoted from in-person trainings to virtual

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[53] Transition 30,250 public housing units in FY20 and 34,300 in FY21 to a more sustainable platform.
[54] Details on the households served by HUD are available online at: https://www.huduser.gov/portal/datasets/assthsg.html.
[55] The HUD Public Housing Repositioning website is available online at: https://www.hud.gov/program_offices/public_indian_housing/repositioning.
[56] The Streamlined Voluntary Conversion Notice is available online at: https://www.hud.gov/sites/dfiles/PIH/documents/PIH-2019-05.pdf
[57] The RAD Revision 4 Notice is available online at: https://www.hud.gov/sites/dfiles/Housing/documents/H-2019-09-PIH-2019-23_RAD_Notice%20Rev4_20190905.pdf.

repositioning roundtables, held virtual repositioning trainings, and virtual one-on-one TA with PHAs. Leveraging technology enabled HUD to provide trainings virtually to a larger audience, a change HUD believes can be leveraged far into the future. HUD also streamlined its internal processing of various repositioning applications, reducing the time for the Department's review considerably.

HUD saw PHAs marshalling their leadership and resources to focus on the COVID-19 response through the spring. Progress to implement some transactions — particularly the more complex RAD financing transactions — slowed with the onset of COVID-19, but the pace of movement recovered as the summer progressed. Lastly, HUD's ability to swiftly transition to telework and overcome the challenges related to COVID-19 is a testament to the resiliency and dedication of its staff.

STRATEGIES AND MAJOR MILESTONES

Strategies	Major Milestones
Provide technical assistance and training to PHAs on new tools to reposition their local Public Housing program.	**2/28/2020:** Issue contract for technical assistance for PHAs of any size and begin deploying technical assistance. – *Achieved as of 9/30/2019.*[58]
Deploy enhanced data analytics dashboard for use at Headquarters and in the field, with more robust capabilities in pipeline and trending data.	**3/31/2020:** Deploy an enhanced data analytics dashboard.[59] – *Achieved as of 3/31/2020*

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[58] HUD has continued TA and training for PHAs. This is expected to continue into 2021. PHA remote on-call provides one-on-one, 16-hour TA for PHAs. HUD is also leveraging its Community Compass TA to conduct virtual repositioning roundtables, hold monthly repositioning webinars on topics identified by PHAs, and is developing asset repositioning videos of best practices shared across the industry. In addition, HUD is using technical assistance for those PHAs with unique needs requiring more than the standard 16-hour TA in order to meet the goals to reposition the lowest performing properties.

[59] A MicroStrategy dashboard was created in FY19, which consolidated PIH's data tracking from various platforms for the first time. The dashboard leverages existing enterprise architecture and MicroStrategy so that HUD can more easily visualize and analyze data that is collected on repositioning.

KEY PERFORMANCE INDICATORS

To help achieve this objective, HUD has established the following performance indicators:

✪ **Number of Public Housing units transitioned to a sustainable platform**

This measure will track the number of Public Housing units transitioned through the Rental Assistance Demonstration (RAD), Voluntary and Required Conversions, Declaration of Trust (DOT) release, and Section 18 Demolitions and Dispositions.

	FY16 Actual[60]	FY17 Actual	FY18 Actual[61]	FY19 Actual[62, 63]	FY20 Actual	FY20 Target
RAD Conversions	18,695	32,256	26,977	17,316	20,504	22,000
Other: Declaration of Trust Release (DOT) and Voluntary & Required Conversions	N/A[64]	N/A	530	742	2,349	750
Section 18 Demolitions/ Dispositions	N/A	N/A	9,221	7,970	8,379	7,500
Totals			36,198	26,028	31,232	30,250

OTHER INDICATORS

▶ **Public Housing occupancy rate[65]**

This measure will track the percentage of Public Housing units that are occupied so that HUD can ensure optimal occupancy rates for units remaining in the Public Housing program.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
95.69%	95.25%	95.6%	94.8%	93.8%	Tracking Only

▶ **Housing Choice Voucher Budget Utilization[66]**

This metric is measured using the calendar year-to-date Housing Assistance Payment (HAP) spending as a percentage of budget authority. Specific budget utilization, voucher utilization, and limited HAP reserve targets optimize the number of households that a PHA can serve given its budget and reserves.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
101.85%	101.20%[67]	98.8%	97.87%	98.88%	Tracking Only

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[60] HUD PIH Information Center data.
[61] Actuals in FY18 were updated via the PIH Repositioning Dashboards.
[62] HUD PIH Information Center (PIC) and RAD Resource Desk data.
[63] A focused repositioning approach was established for Field Offices in 2019. Projections were assessed through outreach to PHAs. Many transactions are complex and may include tenant relocation. Most repositioning actions extend beyond one year, accounting for the lag in target figures to actual repositioned units.
[64] HUD did not track N/A figures as they were not part of an APG prior to FY18.
[65] HUD PIC data.
[66] HUD Voucher Management System data.
[67] Utilization rates over 100% reflect use of reserves to fund voucher assistance when funding appropriated in that fiscal year is insufficient.

► **Number of families served through HUD rental assistance**[68]
This will track the number of rental units occupied by HUD-assisted households.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
4,628,130	4,621,813	4,631,866	4,613,722	4,611,751	Tracking Only

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[68] Totals have been standardized across HUD reports and data sources to include HUD PIH Information Center and Tenant Rental Assistance Certificate System (TRACS) data. Previous Annual Performance Plans included McKinney-Vento Homeless Rental Assistance, Tax Credit Assistance Program, and Housing Opportunities for Persons with Acquired Immunodeficiency Syndrome (AIDS) (HOPWA), which are not included in the rental units totals above.

Major Initiative: Promote Economic Opportunity[69]

> Track the reasons why HUD-assisted tenants exit rental assistance programs.

✪ **Agency Priority Goal for FY20-21: By September 30, 2021, promote economic opportunity for HUD-assisted residents by encouraging self-sufficiency and financial stability, as measured by:**

1. **Tracking tenant-earned income and positive exit trends of control groups for the Rent Reform Demonstration and Family Self-Sufficiency Demonstration (non-elderly non-disabled tenants at several PHAs across the country) based on survey data;**
2. **The impact estimates on tenant-earned income and positive exits due to implementation of higher minimum rents and triennial recertification through surveys conducted as part of the Rent Reform Demonstration; and**
3. **The impact estimates on tenant-earned income, asset accumulation, and positive exits due to receipt of Family Self-Sufficiency Program case management services and financial incentives based on survey data from the Family Self-Sufficiency Demonstration.**

2020 APR PROGRESS UPDATE

During FY20, participants of the Rent Reform Demonstration responded to questions about exit outcomes in the final evaluation survey. The survey results are being supplemented with administrative data matching to provide richer impact data for the final evaluation report early in FY21. A similar exit survey will be administered during FY21 as part of the evaluation of the Family Self-Sufficiency Demonstration. By leveraging these random-assignment experiments, the Department expects to learn more about the: 1) variety of exit outcomes; 2) ways to ask tenants about exits; and 3) conditions during program participation that may influence exit decisions. HUD will use the evidence it collects to inform enhancements to the Department's administrative data systems.

LEADING THIS INITIATIVE
Initiative Lead
Todd Richardson
General Deputy Assistant Secretary
Office of Policy Development and Research

COVID-19 Impacts and Response

As a result of the COVID-19 pandemic, the performance indicator measuring the percentage of work-able households exiting assisted housing with low rental subsidy needs decreased sharply. The economic and employment disruptions of the pandemic have had a major impact on assisted tenants' progress toward self-sufficiency and economic opportunity. The number of HUD-assisted households who receive most of their income from earnings was cut in half by late summer of FY20. CARES Act stimulus and unemployment assistance have partially mitigated the harm to the tenants, but recertification of lower household incomes will reduce tenant rent contributions at the expense of HUD's budget.

The pandemic caused a mandatory telework status for HUD and prevented contract researchers from obtaining access to the administrative data needed to finalize the analysis for the Rent Reform Demonstration evaluation report. The final report and the policy memorandum were delayed approximately three months, as they are based on the evaluation report.

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[69] The name of this initiative has changed from Track Positive Exits to Promote Economic Opportunity to align with the updated Agency Priority Goal statement.

STRATEGIES AND MAJOR MILESTONES

Strategies	Major Milestones
Use current demonstrations, including the Rent Reform Demonstration and the Family Self-Sufficiency Demonstration, to examine exit outcomes and inform strategies for improving administrative collection of exit data.[70]	**9/30/2020:** Prepare a memo that identifies implications of Rent Reform Demonstration survey results for enhancing measurement of positive exits in administrative data collections. – *Achieved as of 12/29/2020.*[71]

OTHER INDICATOR

To help achieve this objective, HUD has established the following performance indicators:

✪ Percentage of work-able households exiting assisted housing with low rental subsidy needs

This measure tracks the percentage of households that leave the Housing Choice Voucher (HCV) program with their income-based rental subsidies at or near zero. Such low subsidies imply that household incomes have increased to the extent that market-based housing is within reach. This measure will serve as a proxy for positive exits as HUD creates a process to obtain new data on all Section 8, Public Housing, and Multifamily programs. For this measure, "work-able household" is defined to mean a household containing at least one non-elderly, non-disabled adult member.[72]

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
17.1%	17.2%	18.0%	19.1%	20.4%	Tracking Only

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[70] Information on the Rent Reform Demonstration is available online at: https://www.huduser.gov/portal/publications/Reducing-Work-Disincentives-Housing-Choice.html. Information on the Family Self-Sufficiency Demonstration is available online at: https://www.hud.gov/program_offices/public_indian_housing/programs/hcv/fss

[71] The mandatory telework for HUD during the COVID-19 pandemic prevented contract researchers from obtaining access to the administrative data needed to finalize the analysis for the Rent Reform Demonstration evaluation report. The final report and memorandum based on the report were delayed approximately three months.

[72] Elderly is defined as 65 or older; program certification rules apply the same definition for persons with disabilities.

5. Strategic Objective: Reduce Barriers to Affordable Housing

Identify barriers and incentivize the reduction of barriers to the supply of available affordable housing.

2020 APR PROGRESS UPDATE

HUD has a long history of activities to reduce regulatory barriers to affordable housing. Its ongoing activities were supplemented when the President issued Executive Order (EO) 13878, "Establishing the White House Council on Eliminating Barriers to Affordable Housing," in June 2019, and the HUD Secretary was designated as the Council Chair.[73] During FY20, HUD's efforts to reduce barriers to affordable housing have focused on conducting stakeholder outreach, research, and analysis to develop recommendations for the Council's report to the

LEADING THIS OBJECTIVE
Objective Lead Michael Marshall *Principal Deputy Assistant Secretary* Office of Policy Development and Research

President. These activities have included conducting roundtables, receiving feedback to a Request for Information (RFI) from the public, working with other agencies to identify Federal actions that support greater housing supply, and drafting a report.[74]

Additionally, HUD has continued to support research about regulatory barriers, with a special focus on factory-built housing, which is an important source of affordable housing. HUD also updated its Regulatory Barriers Clearinghouse, which serves as a resource for jurisdictions and other stakeholders interested in models to reduce regulatory barriers and support housing development.[75]

COVID-19 Impacts and Response

The Council's report to the President was scheduled to be submitted to the President in July 2020. The COVID-19 response prevented HUD from meeting that deadline, both because of the other priorities confronting program offices and the need for other agencies, particularly the Department of Treasury, to address priority issues. Working with the White House team, HUD staff adjusted the timeline.

Secretary Ben Carson had initiated a "Driving Affordable Housing Across America" bus tour to engage communities and hear from leaders and residents about their barriers to affordable housing, which was scheduled between January and June 2020. While Secretary Carson was able to visit the West Coast and Southeast regions, the remainder of the tour was canceled.

STRATEGIES AND MAJOR MILESTONES

Strategies	Major Milestones
Develop a plan to identify barriers to affordable housing.	**5/30/2020:** Develop research plan to analyze and implement policy recommendations around regulatory reform to assist states and local communities in reducing barriers to affordable housing. – *Delayed until 3/31/2021*[76]

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[73] https://www.whitehouse.gov/presidential-actions/executive-order-establishing-white-house-council-eliminating-regulatory-barriers-affordable-housing/
[74] https://www.regulations.gov/document?D=HUD-2019-0092-0001
[75] https://www.huduser.gov/portal/rbc/home.html
[76] The research plan is in review and completion will be delayed from 5/30/2020 to 3/31/2021.

Increase public awareness about effective strategies to reduce governmental regulatory barriers.	**3/31/2020:** Conduct listening sessions with stakeholder groups. – *Achieved as of 1/31/2020*
Engage the public on reducing state and local barriers to affordable housing and urban development.	**3/31/2020:** Update Regulatory Barriers Clearinghouse. – *Delayed until 3/31/2021*[77]
Develop recommendations for reducing barriers to affordable housing for the White House.	**4/30/2020:** Synthesize and evaluate recommendations from roundtables, RFI, and research for policy recommendation. – *Achieved as of 4/30/2020*
	6/30/2020: Develop report on recommendations for White House. – *Delayed until 1/31/2021*[78]
	9/30/2020: Develop a research agenda that addresses knowledge gaps and recommended actions from the industry, academia, and other stakeholder groups.[79] – *Delayed until 3/31/2021*[80]

KEY PERFORMANCE INDICATORS

To help achieve this objective, HUD has established the following performance indicators:

▶ **Reduction in Federal regulatory barriers**
This measure will track the number of regulatory revisions implemented by HUD in the next 18 months as identified in the Council's report.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	N/A	N/A	15	Tracking Only

OTHER INDICATORS

▶ **Incentives to Federal programs**[81]
This measure will track the addition of incentives to Federal programs to encourage jurisdictions to remove barriers.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	N/A	N/A	N/A	N/A

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[77] Milestone completion date will be delayed from 3/31/2020 to 3/31/2021 to allow time for revisions to go through production.
[78] The competing priorities of responding to the COVID-19 pandemic has impacted this milestone completion date. This milestone completion date will be delayed from 6/30/2020 to 1/31/2021.
[79] This language has been modified to fit the milestone more accurately. The previous language was: "Follow-up report on White House recommendations and develop research agenda for 30th Anniversary of Kemp Commission report."
[80] The research agenda is in review and completion will be delayed from 9/30/2020 to 3/31/2021.
[81] This indicator will be removed so efforts can be re-focused on higher priorities, including those related to COVID-19 responses.

6. Strategic Objective: Develop EnVision Centers

Develop a model that provides communities an EnVision Center network that optimizes services to empower households to be self-sufficient.

2020 APR PROGRESS UPDATE

The EnVision Centers Demonstration aims to enhance collaboration within HUD, as well as between HUD, other Federal agencies, and the White House Opportunity and Revitalization Council (WHORC).[82] In FY20, the Department entered into a Memorandum of Understanding with AmeriCorps (formerly known as the Corporation for National and Community Service) to secure Volunteers in Service to America (VISTAS) at interested EnVision Centers. In addition, HUD developed additional criteria for assessing EnVision Center action plans, with the

goal of further streamlining the application process.[83] Additionally, HUD designated a grand total of 62 EnVision Centers as of the end of FY20.

COVID-19 Impacts and Response

Beginning in mid-March, many designated EnVision Center sites had to close their physical locations in response to state and local orders and switched to a complete or hybrid virtual service delivery model. However, some that were deemed essential continued to stay open to serve their clients. Eventually, many EnVision Centers were able to re-open their physical sites and continue serving their clients at half capacity or less, depending on local orders.

EnVision Centers have engaged in the following critical activities in response to the pandemic: conducting on-site COVID-19 information sessions and testing; influenza vaccination; telephonic wellness checks; distributing protective equipment, free meals, and groceries; and providing other social services using remote technology, such as tax counseling and employment assistance.

STRATEGIES AND MAJOR MILESTONES

Strategies	Major Milestones
Assess and strengthen the EnVision Center Model to ensure program feasibility, ease of use, and understanding.	**6/30/2020:** Achieve designation of 60 EnVision Centers. – *Achieved as of 9/29/2020*
Improve external communications with EnVision Center partners and communities.	**12/31/2019:** Develop an EnVision Center website.[84] – *Achieved as of 12/31/2019.*

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[82] Federal HUD EnVision Center Initiative partners include the Departments of Labor, Health and Human Services, and Education.
[83] https://www.huduser.gov/portal/sites/default/files/pdf/ec-Action-Plan-Template-OMB-Approved-2019.pdf.
[84] The EnVision Center website can be accessed at: https://hud.gov/envisioncenters.

KEY PERFORMANCE INDICATORS

To help achieve this objective, HUD has established the following performance indicators:

▶ **Increase the number of designated EnVision Centers**
  This metric will track the number of EnVision Centers in operation.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	N/A	14	62	60[85]

▶ **Building capacity with designated EnVision Centers[86]**
  This metric will track the number of meetings FPM staff held with designated EnVision Centers to enhance their ability to implement centralized services at their sites. Technical assistance may include in-person or virtual engagements.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	N/A	N/A	715	450

OTHER INDICATORS

▶ **Number of partners[87]**
  This metric will track the number of partners providing services throughout all EnVision Centers.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual[88]	FY20 Target
N/A	N/A	N/A	N/A	18	Tracking Only

▶ **Number of people served[89]**
  This metric will track the number of people served throughout all EnVision Centers.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	N/A	N/A	187,215[90]	Tracking Only

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[85] Target increased from 17 to 60 based on interest in the demonstration program. The increased number of demonstration sites will result in additional data to measure the success of the demonstration.
[86] This is a new indicator for FY21; FY20 will establish the baseline.
[87] This is a new indicator for FY21; FY20 will establish the baseline.
[88] There were 18 Federal partners which provided a total of 121 programs.
[89] This is a new indicator for FY21; FY20 will establish the baseline.
[90] In FY20 Q3, EnVision Centers throughout the country responded to the food assistance needs of their communities because of the lockdowns and economic fallout of the COVID-19 pandemic. In particular, Centros Sor Isolina Ferre, the EnVision Center in Ponce, Puerto Rico, distributed 31,648 food boxes from USDA's Farmers to Families Food Box Program. These food boxes reached 101,344 individuals, which accounts for the large total of unique individuals served at the EnVision Centers and analyzed by FPM.

7. Strategic Objective: Support Effectiveness and Accountability in Long-Term Disaster Recovery

> Facilitate housing, infrastructure, and economic recovery while ensuring investments mitigate against future disasters and create resilient communities.

2020 APR PROGRESS UPDATE

Throughout 2020, HUD improved oversight and transparency of its disaster recovery grantee programs, worked towards increasing the stock of resilient homes, and ensured homes are supported by more resilient infrastructure. Specifically, HUD implemented the pre-award risk evaluation protocol to identify specific risks associated with each grantee or grant award and to apply corresponding grant conditions in the grant agreements to mitigate the identified risk(s). HUD has also improved oversight of grantees' CDBG-DR expenditures by updating the Disaster Recovery Grant Reporting (DRGR) System to require the highest-risk grantees that received funds for disasters that occurred in 2017 to upload voucher documentation for withdrawals.[91] Additionally, the Disaster Recovery and Special Issues (DRSI) Division collaborated with the Departmental Enforcement Center (DEC) to review voucher documentation for these grantees. Improvements made to the DRGR system will further enhance both oversight of CDBG-DR expenditures and increase transparency by incorporating grantee documentation and submissions into the DRGR system. This will allow the Department and the public to access and review grantee recovery data and information more easily.

> **LEADING THIS OBJECTIVE**
>
> **Objective Lead**
> John Gibbs
> *Acting Assistant Secretary*
> Office of Community Planning and Development

In 2020, HUD allocated $3.8 billion in CDBG-DR funding to grantees for disasters that occurred between 2017 and2019. Additionally, HUD initiated the recovery program "Launch" technical assistance for all 2018 and 2019 grantees that were receiving CDBG-DR funds for the first time or had not recently received a CDBG-DR allocation. This TA was also provided to other grantees that indicated challenges regarding capacity and initial program launch. Grantees benefited from the TA because it provided a comprehensive introductory training to CDBG-DR grants, promoted best practices for program implementation, and demonstrated key steps to submitting all required documentation. In total, HUD further supported grantees' disaster recovery efforts by providing them with 2,816 hours of TA in 2020. HUD expects that this effort will yield tangible recovery outcomes, including increases in the rate at which homes are rehabilitated and reconstructed.

Other notable 2020 accomplishments include the:

- Hiring of additional DRSI and other "cross-cutting" staff to improve technical assistance for and oversight of disaster recovery grants;
- Collaborating with FEMA Regional Offices to review and approve eleven of the sixteen Community Development Block Grant Mitigation (CDBG-MIT) action plans;
- Integrating of the published plan, DRGR action plan, and quarterly progress reports to make each document easier to understand;[92]

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[91] The DRGR System can be accessed at the following link: https://www.hudexchange.info/programs/drgr/.
[92] The published plan module in DRGR was released on December 21, 2020; however, HUD does not intend to require grantees to use the module until the publication of its planned universal CDBG-DR Federal Register notice. The Department anticipates grantees will have access to the module and will be directed, per the Federal Register notice, to begin using the new features no later than September 2022.

- Addition of more training opportunities for disaster recovery grantees, DRSI grant managers, and new staff; and
- Closure of 52 percent of the grants awarded in 2008, by closing one additional grant out of the remaining 11 grants.

Cross-Agency Priority Goal: *Modernize Infrastructure Permitting*

HUD continues to participate in this CAP Goal as a member of the Federal Permitting Improvement Steering Council. HUD completed one project under this initiative in 2020 in accordance with Title 41 of the Fixing America's Surface Transportation Act (FAST-41). The East Side Coastal Resiliency Project environmental review and permitting was completed March 12, 2020. HUD has no current projects covered by FAST-41 or One Federal Decision (OFD).

During FY20, HUD also improved cross-agency coordination in the Disaster Recovery program by coordinating with FEMA to host a webinar for disaster recovery grantees on the American Society of Civil Engineers' (ASCE-24) elevation standards. This webinar covered the requirements of the ACSE-24 elevation standard for optional use by CDBG-MIT grantees to elevate structures for new construction, repair of structure with substantial damage, or substantial improvement. HUD also participated in FEMA's Unified Federal Review (UFR) process, including the 2020 Unified Federal Environmental and Historic Preservation Review Interagency Workshop in June 2020. HUD staff participated in the UFR Accomplishments Partner Agency Panel along with panelists from the Advisory Council on Historic Preservation (ACHP), the Department of Interior (DOI), and FEMA to share success stories from grantee participation in the UFR process.

Additional FY20 accomplishments include:

- Finalization of the Memorandum of Understanding for the Unified Federal Review Process for Recovery Projects in Puerto Rico, including federal partner signatures; and
- HUD Region VI Advanced Environmental Review Training for Disaster Recovery Grantees. This training was designed to assist CDBG-DR grantees with the complex environmental issues that come with more complex disaster recovery infrastructure projects. The training focused on Environmental Impact Statements, the wetlands permitting process, the National Flood Insurance Program (NFIP), the FEMA mapping process, Lead-Based Paint compliance, and complex Section 106 issues.

COVID-19 Impacts and Response

In response to the COVID-19 National Emergency, HUD paused all monitoring of CDBG-DR and CDBG-MIT grants starting in June 2020. HUD continued to provide remote technical assistance to grantees. Although HUD canceled the 2020 CDBG-DR Problem Solving Clinic which was organized for grantees, DRSI staff provided nineteen online webinars on CDBG-DR and CDBG-MIT. HUD also launched a series of DRGR virtual training sessions to provide guidance to grantees on DRGR system enhancements.

Due to COVID-19, several grantees requested extensions of the deadline for action plan and certification submissions. In response, HUD provided extensions for 2017-19 CDBG-DR grantees and for all CDBG-MIT grantees. Additionally, HUD is extending the expenditure deadlines for up to two years for grantees that received CDBG-DR funds for a disaster that occurred between 2015 and 2017.

HUD paused its efforts to target 2008 grantees for closeout. After reaching out to grantees to provide technical assistance to initiate closeout, several grantees postponed the technical assistance to allow

them to focus on COVID-19 related activities and recovery. HUD intends to resume targeted closeout efforts of the 2008 grantees in Q2 of FY21.

Lastly, HUD suspended publication of the Monthly CDBG-DR Grant Financial Report, which identifies grantees as either on pace or slow spender. HUD determined that the COVID-19 pandemic was likely to make it difficult for grantees to continue certain recovery activities at their prior pace. Therefore, HUD suspended publication of this report and instead introduced the Monthly CDBG-DR Grant Expenditure Report, which still allows the public and HUD to review grantee expenditures across a three-month period.

STRATEGIES AND MAJOR MILESTONES

Strategies	Major Milestones
Improve oversight of disaster funds.	**9/30/2020:** Close out at least 60 percent of the 2008 grants. – *Delayed until 9/30/2021.*[93] **9/30/2020:** Updates to DRGR to support voucher review and approval. – *Achieved as of 9/1/2020*
Reduce the impacts of future disasters and **increase the stock of resilient housing.**	**9/30/2020:** Provide at least one on-site or remote technical assistance engagement to each CDBG-MIT grantee. Facilitate joint HUD-FEMA review and feedback on CDBG-MIT grantee action plans and covered project reviews. – *Delayed until 3/31/2021.*[94]
CAP Goal: *Modernize Infrastructure Permitting* by improving the Federal environmental review and authorization process. Enable infrastructure project sponsors to start construction sooner, create jobs earlier, and fix our Nation's infrastructure faster. Efforts will ensure potential impacts on environmental and community resources are integrated into planning processes.[95]	

KEY PERFORMANCE INDICATORS

To help achieve this objective, HUD has established the following performance indicators:

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[93] This strategy was delayed in FY20 due to impacts from COVID-19. Grantees requested HUD to postpone closeout processes while the grantees managed COVID-19 related activities. Additionally, many grantees were unable to access files related to closeout because staff were in telework status. HUD intends to resume closeout efforts for the 2008 grants in Q2 of FY21.

[94] In response to the COVID-19 National Emergency, HUD provided extensions for grantee submissions of CDBG-MIT Action Plans. The final CDBG-MIT Action Plans are not due until Q2 of FY21. HUD expects the reviews to be complete within Q2 of FY21. HUD continues to provide remote technical assistance to all CDBG-MIT grantees, but is not currently providing onsite technical assistance due to travel restrictions.

[95] HUD has completed all planned activities related to this CAP Goal. The Office of Environment and Energy (OEE) continues to actively participate as a member of the Federal Permitting Improvement Steering Council (FPISC); however, the East Coast and Hudson Rebuild by Design projects are complete and OEE has nothing further to report on those projects and has no new projects to report. As such, the strategy will no longer appear in future versions of the HUD Annual Performance Plan and Report.

▶ **Decrease the percentage of "Slow Spenders" among CDBG-DR recipients for 2015, 2016, and 2017 funds**

HUD will focus grantees on the goal of timely recovery by using technical assistance and oversight actions to decrease the percentage of 2015, 2016, and 2017 CDBG-DR grantees expending funds too slowly to meet applicable fund expenditure requirements (also known as "slow spenders").

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	33%	35%	N/A[96]	33%

OTHER INDICATORS[97]

▶ **Number of homes, affected by disaster events in 2017 and later, that were rehabbed, reconstructed, or newly constructed using CDBG-DR funds**

This measure will track the number of homes that were rehabilitated, reconstructed, or constructed using CDBG-DR funds, subject to enhanced program requirements.[98] (Source: HUD DRGR System)

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	N/A	N/A	20,249[99]	Tracking Only

▶ **Number of homes, affected by disaster events in 2017 and later, that are elevated**

This measure will track the number of homes that were elevated using CDBG-DR funds. (Source: HUD DRGR System)

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	N/A	N/A	1,537	Tracking Only

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[96] Due to the COVID-19 National Emergency, HUD recognized that some grantees may experience a decrease in CDBG-DR expenditures because the National Emergency is likely to make it difficult for grantees to continue certain recovery activities at the prior pace. Therefore, HUD suspended publication of the Monthly CDBG-DR Grant Financial Report. As such, the Department is not currently able to report on the decrease of slow spenders currently.

[97] These indicators are associated with the grantees that received funds in response to a 2017 disaster. In FY19, HUD executed grant agreements with these grantees which allowed grantees to begin setting up programs that HUD has begun tracking and reporting *Other Indicator* data in the FY20 APR.

[98] This indicator's actuals are reported when the activity is complete. An activity is not complete until a National Objective is achieved.

[99] This data was pulled from the DRGR system on September 14, 2020 and includes several housing programs from the 2017 grantees. The State of Texas' Partial Repair and Essential Power for Sheltering (PREPS) program reported 17,429 units received funding for temporary repairs. The CDBG-DR funding is used as the cost share portion of the FEMA funded program.

▶ **Number of housing buyouts**

This measure will track the number of housing buyouts (homes purchased resulting in hazard-vulnerable properties permanently restricted from development) financed with CDBG-DR funds provided to grantees recovering from disaster events in 2017 and later (Source: HUD DRGR System)

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	N/A	N/A	0^{100}	Tracking Only

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[100] Buyout programs are often introduced after initial launch of grantee housing recovery programs. Buyouts commonly also take time to fully implement, to capture the greatest number of properties in a buyout area. Only four of the 2017 grantees have allocated funds to a buyout program. Three of those grantees are in the process of either setting up subrecipient agreements to manage the buyout program or are in the process of beneficiary intake. One grantee has not yet entered any comments in DRGR to reflect the status of their buyout program. Most of the grantees noted an FY20 start date for their buyout program and those programs are currently in the launch phase (i.e., beneficiary intake or setting up subrecipient agreements).

8. Strategic Objective: Promote Section 3

> Assess, improve, and promote Section 3 to better serve eligible residents.

2020 APR PROGRESS UPDATE

Section 3 of the Housing and Urban Development Act of 1968 was enacted to ensure that economic opportunities generated by certain HUD financial assistance expenditures are directed to low- and very low-income persons, particularly those who receive Federal financial assistance for housing and those residing in communities where the financial assistance is expended.

LEADING THIS OBJECTIVE
Objective Lead Benjamin DeMarzo *Assistant Deputy Secretary* Office of Field Policy and Management

In April 2019, HUD published a Notice for Proposed Rulemaking entitled, "Enhancing and Streamlining the Implementation of 'Section 3' Requirements for Creating Economic Opportunities for Low- and Very Low-Income Persons and Eligible Businesses." Pursuant to Section 3, HUD must ensure that employment, training, contracting, and other economic opportunities generated by certain HUD financial assistance be directed to the greatest extent feasible to low- and very low-income persons. The statute is particularly focused on opportunities for those who receive government assistance for housing and businesses that are owned by or employ individuals who receive government assistance for housing. The final rule was published in the Federal Register on September 29, 2020.

COVID-19 Impacts and Response

COVID-19 was a challenge for many of HUD's grantees. To help with minimizing the impact, the Department issued a COVID-19 FAQ to address many of the concerns regarding compliance and reporting. The Department also provided grantees with a reporting extension since many offices were either closed or working remotely with limited resources. Lastly, grantees were provided a plethora of virtual trainings to assure compliance with the current rule.

STRATEGIES AND MAJOR MILESTONES

Strategies	Major Milestones
Revise the Section 3 Rule through collaborative internal and external engagement.	**3/21/2020:** Publication of Section 3 Final Rule. – *Achieved as of 9/29/2020*[101]
Finalize implementation of Section 3 Operations via technical assistance, webinars, and guidance by FPM, PIH, CPD, OLHCHH, and Housing.	**5/30/2020:** Completion of targeted technical assistance campaign for Final Rule. – *Delayed until 7/31/2021*[102]

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[101] The original date was postponed to incorporate additional review from HUD program offices.
[102] The original completion date has been postponed in accordance with the new rule publication date.

Begin process of IT evaluation and reporting systems to implement the new Section 3 rule enhancements.	9/30/2020: Roll out IT enhancements for the evaluation and reporting system for Section 3 to implement the new rule. – *Delayed until 3/31/2021[103]*

KEY PERFORMANCE INDICATORS

To help achieve this objective, HUD has established the following performance indicators, which will be amended once the Proposed Rule is finalized:

▶ **Percentage of Section 3 residents hired[104]**
Percentage of the total number of hires made under Section 3-funded projects that are Section 3 residents

Note: The regulatory target for Section 3 residents hired is 30 percent of total hiring.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
50.7%	47.0%	47.4%	43.2%	48.0%	50.0%

▶ **Percentage of construction contract funding awarded to Section 3 businesses[105]**
Percentage of Section 3-covered construction contract funding awarded to Section 3 businesses

Note: The regulatory target for Section 3 business construction contracts is 10 percent of the total dollar amount of construction contracts.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
8.3%	13.0%	10.7%	10.4%	12.0%	10.0%

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[103] The original completion date has been postponed in accordance with the new rule publication date.
[104] As part of the transition to the new rule, this indicator will no longer be tracked after FY20. The Department will be tracking labor hours, which is a better indicator of sustainable employment that could lead to increased self-sufficiency.
[105] As part of the transition to the new rule, this indicator will no longer be tracked after FY20. The Department will be tracking labor hours, which is a better indicator of sustainable employment that could lead to increased self-sufficiency.

▶ **Percentage of total dollar amount of non-construction contracts with Section 3-covered HUD funding that is awarded to Section 3 businesses[106]**
Note: The regulatory target for Section 3 business non-construction contracts is 3 percent of the total dollar amount of non-construction contracts.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
5.7%	8.0%	10.0%	9.5%	7.1%	9.0%

▶ **Number of self-certified Section 3 businesses in HUD's registry nationwide**

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
2,709	3,587	4,564	5,374	5,762	5,200

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[106] As part of the transition to the new rule, this indicator will no longer be tracked after FY20. The Department will be tracking labor hours, which is a better indicator of sustainable employment that could lead to increased self-sufficiency.

9. Strategic Objective: Bolster Growth in Opportunity Zones

Optimize current HUD programs, policies, and grants to bolster Opportunity Zone investments, where program objectives align.

2020 APR PROGRESS UPDATE

HUD continued its comprehensive approach to focusing program attention and resources on Opportunity Zones (OZ) throughout FY20. Efforts implemented in FY19 through grant programs, FHA programs, and the Rental Assistance Demonstration continued to support investments in Opportunity Zones.

<table>
<tr><td colspan="2">LEADING THIS OBJECTIVE</td></tr>
<tr><td>Objective Lead
Michael Marshall
<i>Principal Deputy Assistant Secretary</i>
Office of Policy Development and Research</td></tr>
</table>

Opportunity Zones continued to grow as a focus of HUD's grants management. Many of the Department's Notices of Funding Opportunity (NOFOs) offered grant applicants two preference points for projects involving Opportunity Zones. HUD developed and implemented an Opportunity Zone Grant Certification Form. HUD released more than 24 grants in FY20 with Opportunity Zone benefits. For example, 3 of the 4 Choice Neighborhood Implementation grants and 11 of 52 Indian Housing Block Grants were awarded for projects and activities in Opportunity Zones. HUD updated guidance to grantees to include operating information pertaining to Opportunity Zones.[107]

Under the leadership of Secretary Ben Carson and White House Opportunity and Revitalization Council (WHORC) Executive Director Scott Turner, Council staff continued to reach out to community members, state and local officials, faith leaders, investors, and other stakeholders. For example, during the first four months of FY20, Mr. Turner visited 20 communities to broaden Opportunity Zone engagement. The Council members continued to be involved in a wide range of engagements throughout the year, consisting of a mix of in-person visits and on-line activities. The WHORC released several reports to support Opportunity Zone investment, including a Best Practices Report and Guide to Local Best Practices and Case Studies.[108]

HUD's field offices have engaged extensively with local community members to help them attract investment in Opportunity Zones to improve residents' lives and support economic and community development. Activities range from large events featuring WHORC members to informal discussions to tackle local challenges. Field office staff across 55 Field and Regional Offices have conducted over 600 engagements in the last year involving over 21,000 attendees. The activities, conducted nationally and in 157 cities, included hosting events and workshops, speaking at events, and meeting with stakeholders from state and local government, local organizations, and private sector partners. HUD participated as a

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[107] For example, the Office of Community Planning and Development issued a notice to grantees on June 23, 2020, that provides general guidance on the types of projects and activities for which grantees may consider leveraging CPD funds in Opportunity Zones. The notice is available at: https://www.hud.gov/sites/dfiles/OCHCO/documents/20-06cpdn.pdf.
[108] Best Practices Report:
https://opportunityzones.hud.gov/sites/opportunityzones.hud.gov/files/documents/OZ_Best_Practices_Report.pdf and Guide to Local Best Practices and Case Studies:
https://opportunityzones.hud.gov/sites/opportunityzones.hud.gov/files/documents/Opportunity_Zones_Phase2_Community_Toolkit.pdf.

co-lead in the Opportunity Project Opportunity Zone Challenge, which engaged tech teams working on the challenge to further build interest in Opportunity Zone investment.[109]

The Opportunity Zones website hosts a range of resources, including Best Practices, Community Toolkits, and a regularly updated report of Completed Program Targeting Actions, which identifies activities at each agency to support investment in Opportunity Zones.[110] The website continues to bolster Opportunity Zone outreach efforts, as indicated by the over 300,000 page views this year.

HUD has identified $2.2M in technical assistance funds to support Opportunity Zones across a range of HUD programs and has already approved TA work plans totaling $746,000.

COVID-19 Impacts and Response

The COVID-19 pandemic has affected HUD's Opportunity Zones efforts. One example of a program aligned to Opportunity Zone benefits that was modified during the pandemic was the Procurement Pilot, where the deadline of the pilot was extended by six months to the end of the of 2020 calendar year.[111] Another significant impact was the cancellation of scheduled in-person outreach sessions. While events are now being conducted online, several programs, such as a series in which HUD was partnering with the Small Business Administration (SBA), was canceled. COVID-19 also affected scheduled in-person technical assistance trainings. Many TA activities are being converted from in-person events to webinars, which may enable the TA to reach a wider audience but reduces the benefits from in-person exchanges.

More significantly, the WHORC, which has a broad mission to support opportunity and revitalization, is focusing its attention on supporting America's underserved communities, which have experienced additional challenges from the COVID-19 pandemic. Activities include offering economic relief to those most in need while continuing to work toward the success of the Opportunity Zones initiative.

STRATEGIES AND MAJOR MILESTONES

Strategies	Major Milestones
Integrate support for Opportunity Zone investment into HUD programs.[112]	**7/1/2019**: Create an Opportunity Zone field manual as a reference guide on how the tax incentive works, strategies for engaging OZ communities to ensure they benefit from the initiative, and resources to support the initiative. – *Achieved as of 6/25/2020*[113]
Integrate Opportunity Zone investment into HUD rules, regulations, and guidance.	**4/30/2020:** Publish Opportunity Zone Toolkit Volume 2: A Guide to Local Best Practices and Case Studies. – *Achieved as of 6/1/2020*[114]

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[109] The Opportunity Project is led by Census Open Innovation Labs (COIL) at the U.S. Census Bureau. It launched in March 2016 as a White House initiative to use Federal and local data in the development of new technologies to solve problems and empower communities. The winning team, Citi Ventures, launched City Builder at The Opportunity Project's 2019 Demo Day. More information about the product is available at: https://opportunity.census.gov/city-builder/.

[110] The Opportunity Zones website is available at: www.OpportunityZones.gov.

[111] More information about the pilot is available at: https://www.hud.gov/press/press_releases_media_advisories/HUD_No_20_012.

[112] Planned activities for this strategy have been achieved. As such, the strategy will no longer appear in future versions of the HUD Annual Performance Plan and Report.

[113] The timely completion of this milestone was affected by interagency delays.

[114] Publication of the toolkit was delayed due to shift in priorities to address COVID-19 response. The toolkit is available at: https://opportunityzones.hud.gov/sites/opportunityzones.hud.gov/files/documents/Opportunity_Zones_Phase2_Community_Toolkit.pdf?utm_content=&utm_medium=email&utm_name=&utm_source=govdelivery&utm_term=.

Improve and measure the effectiveness of Opportunity Zones.	**3/31/2020:** Develop Grant Certification form to be used by HUD program offices to allow tracking of grants awarded to entities operating in OZs. – *Achieved as of 4/1/2020*[115]
	4/30/2020: Issue a report to the President outlining best practices that can guide public and private investment in Opportunity Zones. – *Achieved as of 5/15/2020*[116]
	9/30/2020: Evaluate FY19-FY20 investment and HUD NOFO preference point data to determine the effectiveness of HUD's Opportunity Zone Strategy. – *Delayed until 3/31/2021*[117]
	9/30/2020: Provide research findings on HUD's Opportunity Zone Strategy to the Council of Economic Advisers and White House Opportunity and Revitalization Council. – *Achieved as of 9/1/2020*
	9/30/2020: Provide WHORC Completed Program Targeting Actions Monthly Reports (12 monthly reports completed and published during FY20). – *Achieved as of 9/30/2020*

KEY PERFORMANCE INDICATORS

To help achieve this objective, HUD has established the following performance indicators:

▶ **Percentage of RAD Conversions within Opportunity Zones[118]**
This measure will track the percentage of public housing units converted to Project-Based Voucher (PBV) or Project-Based Rental Assistance (PBRA) programs, as part of the RAD Program, in Opportunity Zones

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	34%	52%	44%	30%

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[115] This milestone was delayed as additional time was needed to capture the broad range of investments and activities occurring in Opportunity Zones throughout the country.

[116] Publication of the report was delayed due to shift in priorities to address COVID-19 response.

[117] Full FY20 investment data must be calculated.

[118] The objective to *Bolster Growth in Opportunity Zones* did not exist until FY19. As such, any previous year actuals, before FY18, are not available since they were not tracked. The tracking of data began with end-year actuals for FY18. No FY18 target was established as this metric did not exist in the FY18 Annual Performance Plan. In addition, this metric will no longer be tracked as it captures what percentage of all converted units are in Opportunity Zones. It is directly impacted by the number of agencies applying for RAD conversions and the location of public housing.

Strategic Goal II: Protect Taxpayer Funds

Align the policies, processes, and people responsible for financial reporting to protect taxpayer's funds.

GOAL

HUD will improve processes and policies to enable it to meet reporting requirements and comply with laws and regulations related to all financial matters. The Department will develop new, or enhance existing, policies and procedures to provide guidance and alignment within HUD. Efforts will be driven by commitments from senior Departmental leadership, clear, concise operational planning, and focusing on the needs of end-customers.

LEADING THIS GOAL
Goal Lead
Irving Dennis
Chief Financial Officer
Department of Housing and Urban Development

HUD will reduce fraud, waste, and abuse of taxpayer dollars. Efforts will focus on the objective, and supporting major initiative, to:

1. Improve Financial Controls through Financial Transformation
    a. *Major Initiative:* Modernize Grants Management

To lead Departmental efforts, HUD has established the Agency-Wide Integrity Task Force. A CFO-chaired central steering committee consists of the heads of HUD's component offices. Nine project management offices beneath the steering committee will execute Department-wide efforts to achieve the goal's objectives.[119]

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[119] Nine project management offices beneath the steering committee execute Department-wide efforts to: Improve Financial Controls through Financial Transformation; Modernize Grants Management; Strengthen Enterprise and Fraud Risk Management; Streamline Acquisition Management; Improve Hiring Processes; Reform Regulations; Utilize the Technology Modernization Fund; Advance HUD's Service Delivery Using IT Centers of Excellence (COEs); and the HUD CARES Act Compliance and Response Team. HUD currently manages four IT CoEs, with GSA support, focused on: Data Analytics, Cloud Adoption, Customer Experience, and Contact Centers.

10. Strategic Objective: Improve Financial Controls through Financial Transformation

> Streamline and improve our financial management to reduce material audit weaknesses; increase transparency; and ensure strong stewardship of Federal resources.

2020 APR PROGRESS UPDATE

In FY20, HUD's Agency-Wide Integrity Task Force (AWITF) continued its effort to strengthen HUD's financial stewardship of taxpayer funds through automation, policy development, and improving transparency to the public. Through the oversight of the task force, HUD successfully completed the following activities: built a new automated Budget Clearance System for reviewing and processing Departmental clearance requests; established a Department-wide Data Quality plan; developed and implemented Department-wide funds control business process, procedure, and policy changes that streamlined and clarified outdated practices; created and issued HUD's Front-End Risk Assessment policy, the Fraud Risk Management policy, and the Statement of Assurance (SOA) annual plan; and produced the Budget in Brief, a 40-page public document that communicates HUD's budget to the media and public.[120]

LEADING THIS OBJECTIVE
Objective Lead Irving Dennis *Chief Financial Officer* Department of Housing and Urban Development

HUD continues to make achievements towards updating its financial controls infrastructure and management practices by increasing awareness of enterprise and fraud risk management activities in grant operations, through educational outreach and ongoing collaboration within program offices of the Department. The OCFO has successfully dedicated resources to review the Department's disaster grantees' operations and provide recommendations for implementation of best practices to strengthen internal controls over the flow of funds.

In addition to the advancements made by Financial Transformation, HUD achieved the following in FY20:

- Department-wide collaboration through 10 AWITF meetings with HUD's program offices to ensure completion of the Department's goals and objectives.
- Reduced the number of audit recommendations from over 2,200 in FY17 to below 1,300. In addition to this reduction in audit recommendations, OCFO implemented a dedicated team to analyze the remaining open recommendations to be brought to OIG for immediate closure.
- Through HUD's Intelligent Automation project, co-sponsored with OCIO, identified over 52 processes for automation totaling approximately 45,000 hours of capacity annually, of which 18 processes were automated.
- Raised the bar on best practices across the government by successfully launching the Accountability, Integrity, and Risk (AIR) program, a fully integrated risk management and internal control assurance program. AIR enabled HUD to address long-standing issues by bringing together program offices to preemptively identify and quickly resolve weaknesses and achieve an evidence-based HUD-wide positive statement of assurance.

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[120] The HUD Budget in Brief is available online at: https://www.hud.gov/budget.

- Created or updated 38 financial policies and procedures in FY 2020. This builds on previously developed policies after HUD established a financial policy governance process in FY 2018. These updated policies and procedures strengthened departmental internal controls and supported the resolution of 73 management decisions.
- Since 2018, closed over 186,000 open grants.
- Chartered the HCCRT task force to ensure HUD compliance with CARES Act funding appropriations and disbursements. HUD received $12.4B of spending. This is equivalent to 22 percent of HUD's enacted appropriations for FY20 of $56.5B, adding pressure to use it properly. The HCCRT is monitoring all the funding to make sure it is issued as needed. The HCCRT met with all HUD program offices and is monitoring reporting between HUD, grantees, and subrecipients to make sure all parties provide necessary information.

Cross-Agency Priority Goal: *Improve Customer Experience (CX) with Federal Services*

Since June 2020, HUD has transitioned CX leadership from the Office of the Chief Information Officer to the Office of the Chief Financial Officer and established HUD-wide governance to implement CX practices. HUD recognizes that improving customer experience requires HUD to understand customer needs and to be able to adequately respond when engaging with customers. The CX Team is working to:

- establish governance to implement CX practices across HUD;
- build methods and tools to collect sentiment data and perform analysis to inform operations; and
- conduct prototype projects to begin mitigating known customer pain points.

The cross-agency team has started work on CX solutions that will improve customer sentiment, such as the re-design of the Office of Fair Housing and Equal Opportunity (FHEO) website and content to improve clarity and user interface.

High Impact Service Provider Update

FHA's Office of Single Family Housing represents HUD on the interagency team supporting this CAP Goal as one of 25 Federal high impact service providers (HISP).121 Single Family Housing strives to continually deliver world-class customer service to its external partners through the FHA Resource Center, which is managed by the Philadelphia Homeownership Center (PHOC). Beginning in FY19, the PHOC collaborated with the FHA Resource Center team and Single Family Housing's National Servicing Center Division (NSC) to improve NSC's Home Equity Conversion Mortgage (HECM) customer service responses. The NSC wanted to address shortcomings with their customer service contractor. To do so, it turned to the FHA Resource Center to redirect incoming HECM customer inquiries more efficiently, providing higher-quality services to their clients as a result. The team spent several months preparing for the transition, which included setting up data sharing capabilities, meeting on a regular basis, and providing onsite training. In August of 2019, the PHOC collaborated with the National Servicing Center to transition the remaining NSC phone call inquires (Loss Mitigation & Forward Servicing) over to the FHA Resource Center as the second and final phase of this project. The work of the PHOC, FHA Resource Center, and NSC demonstrated FHA's strong commitment to collaboration and continuous improvement. The transition of NSC's customer service inquiries to the FHA Resource Center has allowed FHA to ultimately have a one-stop-shop for all Single Family customer service inquiries. In addition, the PHOC collaborated with the Office of Housing Counseling in February of 2020 to transition all their email inquiries122 into the FHA Resource Center.

Cross-Agency Priority Goal: *Share Quality Services*

Throughout FY20, HUD continued to build on its successful partnerships with its shared service providers and made progress on its financial transformation goals. In FY19, HUD explored the use of the Administrative Resource Center's (ARC) OneStream software product for Budget Formulation, Managerial Cost Accounting (MCA), Working Capital Fund (WCF), and Subledger Reconciliation system requirements. HUD successfully performed an analysis of these system requirements with its service providers in FY20 and entered into an interagency agreement with ARC for Budget Formulation, Managerial Cost Accounting, and Working Capital Fund as a Software as a Service (SaaS) system implementation.

In FY20, HUD was able to complete implementation of the Subledger Reconciliation functionality within ARC's OneStream system. The Department began work in Q4 on the implementation of the Working Capital Fund and Managerial Cost Accounting functionality that will allow HUD to improve the accuracy of cost allocation to program areas and increase the transparency into the allocation process. Both the WCF and MCA functions are being implemented in collaboration with ARC using their OneStream Platforms and is expected to be operational in FY21.

Cross-Agency Priority Goal: *Get Payments Right*

HUD launched initiatives to help programs develop comprehensive solutions to reduce improper payments. These initiatives proved to be key components in helping HUD's program offices significantly reduce improper payments. For example, the initiatives supported HUD's FHA Single Family Insurance Claim program to reduce improper payments to less than 1 percent for two consecutive years. This resulted in FHA receiving no new audit findings or recommendations in FY20. Additionally, the improved

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[121] A full listing of HISPs and their activities in support of this CAP Goal is available online at: https://www.performance.gov/cx/?.
[122] Housing.Counseling@hud.gov.

practices and low improper payment rate reduced the reporting burden for FHA as OMB approved the reporting relief request.

The initiatives also accurately identified improper payments for high-risk programs and supported the reduction of improper payment rates to less than 10 percent for the agency. For example, Ginnie Mae, who experienced one of the most significant improvements, moved from 20 percent improper payments in FY18 to less than 5 percent improper payments in FY20. These reductions are disclosed in the Agency Financial Report and on paymentaccuracy.gov.

For the Tenant Based and Project Based Rental Assistance Programs and for the CPD Disaster Recovery Assistance program for Hurricanes Harvey, Irma, and Maria (HIM), HUD estimated improper payments in FY 2020 using a non-statistically valid estimation methodology approved by OMB. The estimated improper payment rates for these programs were less than 10 percent and are published in the Agency Financial Report and on paymentaccuracy.gov.

HUD proactively communicated the Getting Payments Right initiative and engaged stakeholders, such as OMB and HUD OIG, to facilitate buy-in on strategy, the responsiveness of data requested and provided, and an understanding of the progress made to date. These actions rendered positive results in no new audit recommendations during FY 2019, full compliance in FY 2020, and resolved all prior year audit recommendations.

COVID-19 Impacts and Response

HUD experienced an increase in financial management workloads as the Department responds to COVID-19, in accordance with OMB Directive M-20-16. The increase in financial management workload did not prevent HUD from meeting most of its Financial Transformation milestones in FY20. This was in large part due to the hard work of HUD staff, CARES Act funding for HUD CFO, and the success in being able to work remotely.

One area in which the Financial Transformation objective was impacted by COVID-19 was the performance of Open Obligations Review (OOR). Delays in OOR were related to HUD program offices reprioritizing efforts to quickly distribute funds from the CARES Act.

In FY20, OCFO spearheaded the HUD Cares Compliance and Response Team (HCCRT) to ensure quick distribution of the $12.4 billion in CARES Act funds while adhering to regulations. The $12.4 billion was equivalent to 22 percent of the normal gross appropriation for HUD in FY20. HCCRT helped to coordinate across the Department and became the framework for providing accurate and actionable CARES Act compliance and reporting guidance to mitigate risks.

STRATEGIES AND MAJOR MILESTONES

Strategies	Major Milestones
Standardize, improve, and document financial reporting processes.	**9/30/2020:** Address OIG-identified material weaknesses by automating cash management activities in the HCV Program.[123] – *Not Achieved as of 9/30/2020*

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[123] This milestone was not achieved because changes in the initiative's scope required a project refresh. HUD still anticipates automating cash management activities in the HCV program and a new milestone is identified in the FY22 APP to reflect the project's refresh.

Resolve OIG and GAO findings.[124] Determine and correct the overarching issues driving audit findings and material weaknesses.	**2/28/2020:** Earn a qualified or unqualified opinion from the OIG on HUD's ability to account for Ginnie Mae non-pooled loans.[125] – *Achieved as of 9/30/2020* **9/30/2020:** Execute remediation plans to eliminate all material weaknesses identified by the OIG and GAO. – *Achieved as of 9/30/2020*
Update internal controls to optimize the flow of disaster recovery funds.[126]	**9/30/2020:** Integrate internal controls into the Federal Notices of Awards published in FY20. – *Achieved as of 1/27/2020*
Improve HUD's budget processes.	**9/30/2020:** Establish a credit services management branch within the Office of the Assistant CFO for Budget. – *Achieved as of 8/27/2020*
Strengthen Enterprise and Fraud Risk Management (EFRM).	*Establish risk as an inherent part of the Department's strategic, budgeting, and operational models.* **2/29/2020:** Complete rewrite of Departmental Management Control Program Handbook (1840.1). – *Achieved as of 9/25/2020* **4/30/2020**: Integrate enterprise risk management into FY 2022 Budget Formulation. – *Achieved as of 4/30/2020* *Maintain updated enterprise risk profile to promote Department-wide awareness of top risks and align with the target ERM lifecycle.* **6/20/2020**: Complete FY 2020 refresh of the HUD Risk Profile. – *Achieved as of 6/2/2020* *Assess Departmental EFRM maturity against Federal requirements and leading EFRM practices.* **4/1/2020** Establish a model for assessing fraud risk management maturity across HUD. – *Achieved as of 6/19/2020*

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[124] This strategy has been reworked from the FY19 APP strategy to "Coordinate with the Office of Inspector General (OIG)." The strategy has been refined to go beyond improving coordination with the OIG to resolving audit findings to ensure HUD receives a clean financial audit.

[125] The OIG report was published on December 4, 2020 and is available at: https://www.hudoig.gov/reports-publications/report/audit-huds-fiscal-year-2020-consolidated-financial-statements.

[126] This strategy will be moved to the Support Effectiveness and Accountability in Long-Term Disaster Recovery objective of HUD's FY22 APP, as this process has moved over to the Financial Monitor in CPD.

CAP Goal: *Improve Customer Experience with Federal Services* by improving the usability and reliability of HUD's most critical services. Efforts will increase communication and accessibility between HUD and the citizens it serves. [127]	**9/30/2020**: Stand up a Customer Experience Office led by a Chief Customer Experience Officer. – *Achieved as of 9/22/2020*[128]
CAP Goal: *Share Quality Services* to deliver technology and process improvements that will improve citizen services. HUD efforts will shift time, effort, and funding currently spent on administrative services to core missions in support of American citizens.	*Increase the Availability and Use of Centralized Solutions* **9/30/2020:** Expand electronic invoicing for Federal contracts.[129] – *Delayed until 12/31/2021*
CAP Goal: Shift from Low-Value to High-Value Work to reduce unnecessary agency costs and compliance requirements to increase high-value work. Major Federal agencies are undertaking their own burden reduction efforts and will regularly report on progress.[130]	**3/30/2020**: Provide regular biannual progress updates*. – Not Achieved*[131] **9/30/2020**: Provide regular biannual progress updates*. – Not Achieved*[132]
CAP Goal: *Get Payments Right* to reduce the amount of cash lost to the taxpayer through incorrect payments. Clarify and streamline reporting and compliance requirements to focus on actions that make a difference. Focus efforts towards partnering with states to address improper payments in programs they administer using Federal funds.	*Reduce the Amount of Monetary Loss* **9/30/2020:** Leverage in-house data sources to determine cash loss. – *Achieved as of 9/30/2020*

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[127] This strategy was previously worded in the FY21 APP and FY19 APR as: "CAP Goal: Improve Customer Experience with Federal Services by improving the usability and reliability of HUD's most critical digital services. Efforts will increase communication and accessibility between HUD and the citizens it serves." In FY20, HUD's customer experience efforts transitioned from the Office of the Chief Information Officer to the Office of the Chief Financial Officer. Therefore, this strategy has been moved from the Modernize IT strategic objective to the Improve Financial Controls through Financial Transformation strategic objective. The strategy has also been reworded to reflect that OCFO has a Department-wide approach in moving this CAP Goal forward.

[128] HUD has designated an Acting Chief Customer Experience Officer in OCFO and established a governance structure that creates a team of resources for CX initiatives.

[129] This milestone has been delayed due to the lack of integration of G-invoicing to Oracle.

[130] HUD has completed all planned activities related to this strategy. As such, the strategy will no longer appear in future versions of the HUD Annual Performance Plan and Report.

[131] This milestone was discontinued before completion due to a realignment of planned activities by interagency CAP Goal leadership, per OMB Circular A-11.

[132] This milestone was discontinued before completion due to a realignment of planned activities by interagency CAP Goal leadership, per OMB Circular A-11.

KEY PERFORMANCE INDICATORS

To help achieve this objective, HUD has established the following performance indicators:

▶ **Reduce the percentage of OIG open recommendations[133]**
Reduce the percentage of OIG open recommendations that the OIG issued in previous audits.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Closure Target
N/A	39%	36%	34%	39%	34%

▶ **Conduct Quarterly Financial Management Council Meetings[134]**
Convene regular planning and communication sessions to coordinate Department-wide priorities.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	4	4	4	4

▶ **Decommission Legacy Financial Systems[135]**
Modernize, consolidate, and then decommission HUD's separate financial systems into one central structure.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	1	1	3	1

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[133] This metric has been revised from the count of resolved recommendations to a percentage reduction in open recommendations. The change has been made to better account for HUD's efforts due to the unpredictable variance in annual amounts of recommendations provided by the OIG each year.
[134] This metric first appeared in the FY20 HUD Annual Performance Plan. As such, actuals for FY17 are not available as the metric was not tracked.
[135] This metric first appeared in the FY20 HUD Annual Performance Plan. As such, actuals for FY17 are not available as the metric was not tracked.

Timely Certification of Open Obligations Review

Percentage of program offices which certify open obligations by annual HUD OCFO deadlines.

	FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
System Certification	35%	50%	85%	38%[136]	83%	100%
Memo Certification- Assistant Secretary or Equivalent	45%	45%	65%	95%	71%	100%

Timely completion of necessary deobligations

Program offices complete necessary deobligations and updates to awards' periods of performance as identified in the open obligations review process. Program offices will provide the identified deobligations to the Office of the Chief Procurement Officer (OCPO) annually by the end of April.

	FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
ARC (Administrative/S&E)	0%	38%	73%	100%	98%	95%[137]
OCPO (Administrative/S&E)	0%	0%	23%	48%	10%	70%[138]
Accounting (Program Offices)	0%	0%	33%	96%	47%	95%[139]
Systems (Automatic Deobligations)[140]	N/A	100%	100%	100%	100%	100%

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[136] The Federal Government Shutdown hindered performance by reducing the time available to review system certifications, since deadlines did not change. All reviews were completed but not in a timely matter. The Open Obligations Process was to begin on 1/8/19 but started 2/15/19. FY19 performance was also impacted by the increase of open obligation review periods from one in FY18 to three in FY19. Review Period 1 was the Administrative Obligation Review (18 Program Offices) with 22% of system certifications completed by the 3/29/19 deadline. Review Period 2 was the Program Review (7 Program Offices) with 71% of system certifications completed by the 5/15/19 deadline. Review Period 3 was the Tenant-Based Section 8 Program Review (1 Program Office) with 100% of system certifications completed by the 6/17/19 deadline.
[137] The FY20 Target published in the FY20 APP & FY18 APR was 85%. The FY20 Target was adjusted upwards due to better-than-expected performance.
[138] The FY20 Target published in the FY20 APP & FY18 APR was 85%. The FY20 Target was adjusted to align with current OCPO capacity.
[139] The FY20 Target published in the FY20 APP & FY18 APR was 85%. The FY20 Target was adjusted upwards due to better-than-expected performance.
[140] This category is a new addition to this metric, first appearing in this edition of the HUD Annual Performance Plan and Report.

Major Initiative: Modernize Grants Management

Improve our grants management to streamline processes and increase internal collaboration, improve timeliness of making grant awards, and ensure strong stewardship of Federal resources.

2020 APR PROGRESS UPDATE

HUD's FY20 focus for this objective was on standardizing and streamlining the Department's grants processes while increasing availability of quality data.

LEADING THIS INITIATIVE
Initiative Lead Irving Dennis *Chief Financial Officer* Office of the Chief Financial Officer

HUD's Deputy Secretary issued a memo that standardized the process for issuing NOFOs. The FY21 NOFO template continued the streamlining process outlined in the Deputy Secretary's memo, reducing the NOFO clearance and publication process by 58 percent, from 120 days to 50 days.

HUD's implementation of the Funding Slate in the GrantSolutions system since FY19 has increased transparency for grant managers. By collapsing several steps of the grants award process into one, GrantSolutions allows leaders to go into the system and sign once, instead of the previous 4-signature process. The system also generates financial reports needed for OCFO Accounting to make funds available, de-obligate, and close out grants when needed.

HUD completed an automated financial dashboard that improves the transparency of data for Community Planning and Development (CPD) grant programs while monitoring compliance with statutory and regulatory requirements to spend funds in a timely manner, limit administrative expenses, and spend funds on appropriate activities. HUD added the ability to view programmatic detail, which ties performance outcomes to the dollars spent. HUD also began the process of expanding the dashboard to other grant programs by prototyping an additional office's financial dashboard and consolidating financial data from legacy financial systems. HUD automated the accomplishment data and funding dashboard for the HOME program.

Finally, HUD continues to strengthen grantee oversight with the pilot Risk Tool for CPD. This tool will inform monitoring efforts by improving the consistency of risk scores, combining program-level risk scores for grantees into a national CPD risk score, introducing innovative data and analytics approaches to risk scoring, and developing interactive visualizations that will support workforce planning, monitoring, and risk assessment. HUD completed proof-of-concept activities, as well as identified and is in the process of addressing data normalization needs, which will support the successful build of the pilot Risk Tool.

Cross-Agency Priority Goal: *Achieve Results-Oriented Accountability for Grants*

While HUD's various discretionary grant programs maintain separate and manual performance data collection processes to meet their performance reporting needs and compliance requirements, HUD has moved toward electronic grants management systems to link data among various programs with similar target populations.

HUD developed and implemented a standardized data collection reporting tool for HUD's grant programs and streamlined administrative costs and burdensome compliance requirements, allowing for more

effective analysis, monitoring, and flexibility, which accommodated the needs of various discretionary grant programs.

Standards for Success (SFS) is a standardized performance reporting tool used to streamline data collection for HUD from both a policy and a systems standpoint. Standards for Success was first implemented for a limited number of grant programs in FY17. HUD continually updates Standards for Success to refine the data collected and improve the web-based tool (GrantSolutions inForm) utilized to collect the data, which increased the number of participants among the included programs. In FY20, all Resident Opportunities and Self-Sufficiency (ROSS) Service Coordinator grants, Multifamily Housing Service Coordinator grants, and Multifamily Housing Budget-Based Service Coordinator Sites continued reporting under Standards for Success requirements. These programs continue to utilize Standards for Success to analyze their portfolios at the service recipient level, provide oversight and technical assistance to improve performance, and choose performance outcomes to both drive performance and determine future funding recipients.

COVID-19 Impacts and Response

Grants management and modernization workloads were delayed as internal partners worked to implement CARES Act funding and reporting. Ongoing communications allowed HUD to project a timeline that worked with internal partners to support the shift in priorities.

In addition, to enable swift resource delivery and limit the need for grantee training, HUD is employing existing CPD systems, including the Integrated Disbursement and Information System (IDIS), the HUD Environmental Review Online System (HEROS), Sage, and the Disaster Recovery Grant Reporting/ Grants Management Process (DRGR/GMP) to deploy and manage oversight for the CARES Act grants in the CDBG, ESG, and HOPWA programs. Quick updates to IDIS created "CV" (Coronavirus) flags for planned pandemic-related activities and related financial summary and performance reports. CPD is using CARES Act technical assistance resources, managed via DRGR, to rapidly deliver CARES Act technical assistance. With the completion of the work to re-platform the GMP system's monitoring capabilities into DRGR, HUD will be able to expand CPD's newly automated risk analysis and grant monitoring procedures to the "CV" grants in FY 2021.

STRATEGIES AND MAJOR MILESTONES

Strategies	Major Milestones
Move towards a standardized grants management process and modernize grants management systems.[141]	**9/30/2020:** Address issues with Funding Slate for all grant programs currently using GrantSolutions for making awards, to onboard at least four more programs, in FY20. – *Achieved as of 3/2/2020*[142]
Establish standard policies and procedures for closing grants to ensure that HUD closes out grants in a timely manner in the future.[143]	**2/15/2020:** Update HUD's Grants Management Handbook to include more detailed policies and procedures for closing out grants. – *Achieved as of 2/24/2020*

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[141] The effort to develop a system that is integrated with HUD's financial system has been discontinued; however, HUD is still working to modernize its grants management systems.
[142] This major milestone was partially achieved since issues with the Funding Slate were addressed for four grant programs currently using GrantSolutions to make awards. No additional programs were onboarded in FY20 due to funding constraints.
[143] Planned activities for this strategy have been achieved. As such, the strategy will no longer appear in future versions of the HUD Annual Performance Plan and Report.

Automate CPD financial management dashboard; then expand to other program offices.	**3/31/2020:** Build dashboard for the HOME Program that contains grant award, accomplishments, and other outcome data for each year. – *Achieved as of 12/14/2020[144]*
	9/30/2020: Expand the dashboard to include other program offices. – *Delayed to 7/31/2021[145]*
CAP Goal: *Achieve Results-Oriented Accountability for Grants* to increase efficiency, promote evaluation, reduce reporting burden, and benefit the American taxpayer.	*Standards for Success (SFS) Reporting* **9/30/2020:** Include all eligible Multifamily Housing funding recipients into SFS as they qualify throughout the fiscal year. – *Achieved as of 9/30/2020[146]*

KEY PERFORMANCE INDICATORS

To help achieve this objective, HUD has established the following performance indicators:

▶ **Number of Grants Reported Under the FY17 Grants Oversight and New Efficiency (GONE) Act Submission**
HUD will track progress towards reducing the number of grants reported in the FY17 GONE Act submission with periods of performance that have been expired for two or more years and have not been closed out.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	186,306	457	417	123[147]	100

Cross-Agency Priority Goal: *Results-Oriented Accountability for Grants*

▶ **Number of Programs Participating in Standards for Success Reporting**
HUD will track the annual number of grant programs that opt to participate in Standards for Success Reporting.[148]

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
0	2	2	3	3	3[149]

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[144] This milestone was delayed due to competing priorities as this was an inter-Departmental project and contributing program offices needed to verify data integrity.
[145] This milestone was delayed due to competing priorities as this was an inter-Departmental project.
[146] This is an ongoing milestone.
[147] The grants closed from FY19 to FY20 represented a reduction from $164,000 to $43,587 (the balance for only 3 grants), a 73.5% decrease in the undisbursed balance.
[148] The Standards for Success Pilot tested the functionality of data collection in GrantSolutions. The name was changed to Standards for Success Reporting in its third year.
[149] This number has been corrected from four to three as there were originally only three programs considered for Standards for Success Reporting.

OTHER INDICATORS

▶ **Number of Competitions that Use Multiyear NOFOs**

This measure will track how many Notices of Funding Opportunity distribute funding over multiple years.[150]

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
1[151]	0[152]	5[153]	2[154]	1[155]	Tracking Only

▶ **Number of Programs Using At Least One Outcome Metric for Scoring Purposes**

HUD will track the number of competitive grant programs that use at least one outcome metric for scoring purposes.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
No Data	No Data	No Data	11	11	Tracking Only

▶ **Percentage of Metrics that are Outcome Metrics**

HUD will track the percentage of metrics, used for scoring competitive grant applications, that measure outcomes.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
No Data	No Data	No Data	7%	7%	Tracking Only

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[150] The indicator in the FY21 Annual Performance Plan and FY19 Annual Performance Report stated the description as: "This measure will track how many grant competitions use Notices of Funding Availability that provide recipients with awards distributed over multiple years." It has been updated to clarify that this indicator tracked NOFOs with combined multiyear funding. In addition, this indicator will no longer be reported in future versions of the Annual Performance Plan and Annual Performance Report as the information did not glean significant findings on the use of funding or its multiyear distribution.

[151] This number has been updated from three to one based on the Funding Opportunities information for FY16, available at hud.gov/program_offices/spm/gmomgmt/grantsinfo/fundingopps.

[152] This number has been updated from three to zero based on the Funding Opportunities information for FY17, available at hud.gov/program_offices/spm/gmomgmt/grantsinfo/fundingopps.

[153] This number has been updated from three to five to reflect that two additional programs combined multiyear funding. The five programs were: Supplemental Comprehensive Housing Counseling Grant Program, Community Compass Technical Assistance and Capacity Building Program, Distressed Cities Technical Assistance, Family Unification Program, and Continuum of Care Program.

[154] This number has been updated from one to two to reflect that an additional program combined multiyear funding. The two programs were: HOPE VI Mainstreet and Community Development Block Grant for Indian Tribes and Alaska Native Villages.

[155] Community Compass Technical Assistance and Capacity Building Program is the only program to-date.

Strategic Goal III: Streamline Operations

Radically simplify rules and streamline programs to better serve our customers.

GOAL

HUD will examine its programs, customer needs, and employee expertise to streamline its operations. Alignment of program regulations, rules, and management activities will allow the Department's customers to access our services more easily. HUD will better align delegations of authority to prevent gaps and overlaps in responsibility while streamlining coordination. The Department will explore ways to strengthen coordination among program offices in Headquarters and the Field to ensure frontline employees are empowered to respond effectively to customers' needs. Department-wide efforts to simplify HUD's regulations, rules, and improve human capital management will support these efforts while ensuring their long-term sustainability.

LEADING THIS GOAL
Goal Lead Jack Bobbitt *Assistant Secretary for Administration* Department of Housing and Urban Development

HUD will streamline rules and simplify programs to better serve our customers. Efforts will focus on three objectives and one major initiative to:

1. Organize and Deliver Services More Effectively;
    a. *Major Initiative*: Streamline Acquisitions Management
2. Modernize Information Technology; and
3. Reform Regulations.

11. Strategic Objective: Organize and Deliver Services More Effectively

Optimize service delivery and decision-making to better meet customer needs.

2020 APR PROGRESS UPDATE

During FY20, HUD, along with all Federal agencies, was required to move all employees to mandatory telework in the wake of the COVID-19 pandemic. The Department had to rethink approaches to hiring new employees, evaluating the workforce, and delivering training and development opportunities in an all-virtual environment. HUD changed approaches in these areas to ensure employees and supervisors across the organization were supported and, in an environment, to thrive. In FY20, HUD filled 1,631 positions representing a significant increase in hiring for the Department and exceeding the goal to fill 1,500 positions this fiscal year. All established Entrance on Duties (EOD) were honored, onboarding was conducted virtually, and processes were streamlined to focus on "must-do's" first. Ultimately, employees and supervisors were invigorated to utilize developmental opportunities offered across the Department at a significantly higher rate than in past years, and HUD was able to collect customer feedback and input on processes and practices to develop new strategies and goals for FY21 and beyond.

LEADING THIS OBJECTIVE

Objective Lead
Jack Bobbitt
Assistant Secretary
Office of the Assistant Secretary for Administration

FY20 Hiring Tracker
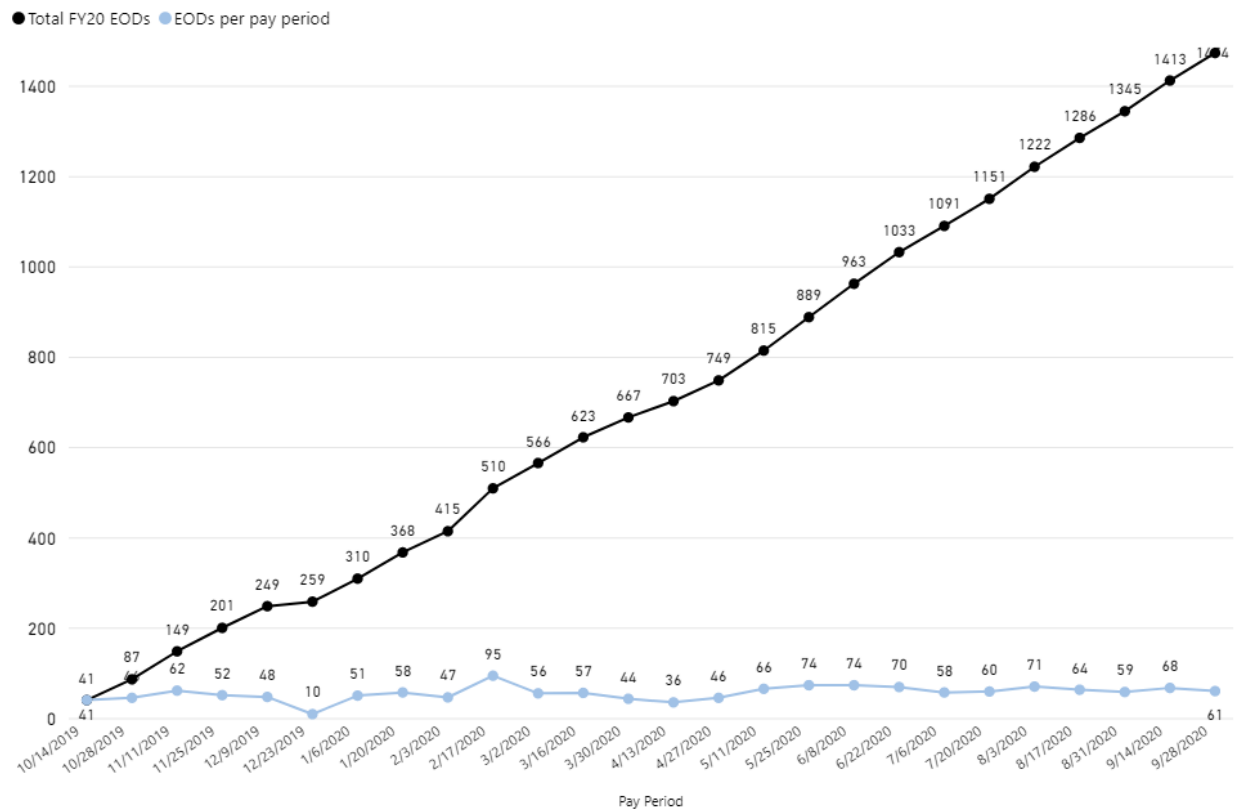
COVID-19 Impacts and Response

Due to the pandemic, time to hire was negatively impacted by delays in the security clearance process. The General Services Administration's (GSA) USAccess sites were closed, which delayed new employees being able to complete the enrollment process (i.e., fingerprinting, picture taking, and identity document verification) for both Federal staff and contractors. To address these challenges, HUD developed workarounds that allowed staff to onboard without completing the entire enrollment process until facilities reopened.

The CARES Act significantly increased HUD's hiring goals in FY20. The current service provider, the Department of Treasury's Bureau of Fiscal Service (BFS), was not able to build additional capacity in response to the Department's new hiring needs quickly enough.

In FY20, HUD was focused on automating processes to improve overall service delivery. However, due to the pandemic, focus and energy was shifted to meet the new demands of the situation. Reducing time to hire became more critical, as it was imperative to quickly hire talent needed in response to COVID-19. As a result, HUD has been working to hire more external talent utilizing special appointing authorities, such as Peace Corps and Military Spouses.

STRATEGIES AND MAJOR MILESTONES

Strategies	Major Milestones
Ensure HUD attracts, trains, and retains an efficient workforce with an accountability structure that accomplishes its mission.	*Continue deployment of HUD's repeatable Strategic Workforce and Succession Planning (SWP) process, in program offices across the Department.* **9/30/2020:** Complete SWP studies in two (2) program offices (initial or repeat) to assess SWP effectiveness, gaps, and occupational trends. – *Not Achieved*[156] *Focus intense employee engagement improvement efforts on the lowest performing organizations.* **9/30/2020:** Identify the bottom 20% of HUD's 2018 Employee Engagement Index (EEI) and consult with program offices, which will develop plans to target a 20% improvement in their scores by the end of 2020. – *Achieved as of 9/30/2020.*

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[156] The Department did not complete any SWP studies in FY20. Leadership and employee turnover within Office of the Chief Human Capital Officer (OCHCO) divisions during FY19 and FY20 delayed the ability to properly resource the work. Additionally, customer feedback on the value of the information received from previous studies is being incorporated in the redesign of the approach and process for future studies.

1/15/2021 U.S. Department of Housing and Urban Development

KEY PERFORMANCE INDICATORS

To help achieve this objective, HUD has established the following performance indicators:

▶ **Percentage of employees trained on the Alternate Dispute Resolution (ADR) Process[157]**
   This measure will seek to increase the percentage of HUD employees, management and non-management, who are educated on how to use the Alternate Dispute Resolution Process to address equal employment issues.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual[158]	FY20 Target
N/A	N/A	N/A	N/A	Unavailable	25%

▶ **Net reduction in the number of skills gaps identified by employees and their managers**
   This measure will track biennial competency assessment results to track how many skills gaps have been fully addressed via Department-provided training.

FY16 Actual	FY18 Actual	FY20 Actual[159]	FY20 Target[160]
28	20	N/A	26

▶ **Average Time-to-Hire (Office of Personnel Management [OPM] model)**
   This measure will track the average number of days it takes from validation of hiring need to tentative offer. HUD will analyze current and historical data for the Department to inform talent management strategies and decisions regarding the workforce.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
124 days	150 days	113 days	102 days	101 days[161]	93 days

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[157] Complete FY20 data is planned to be available in once the Office of Departmental Equal Employment Opportunity (ODEEO) has acquired a new case tracking system.

[158] ODEEO's FY20 training goals were heavily impacted by the COVID-19 pandemic. ODEEO canceled in-person training focused on EEO/ADR. Additionally, ODEEO's tracking system, e-Case went offline unexpectedly due to a vendor service delivery issue. The delivery issue has been fixed however, the ability to capture FY20 training statistics is not possible. Alternative actions are underway to resume training efforts for FY21. Additionally, ODEEO data suggest a slight decline in EEO complaint activity since the start of the COVID-19 pandemic. Typically, most EEO complaints stem from allegations of a hostile work environment or the denial of a reasonable accommodation. The Department's mandatory/maximum telework is a likely reason for the decline in FY20.

[159] The Department will not be able to report on this metric until FY21 due to the transition of functional leadership and the need to implement changes because of customer and stakeholder feedback suggesting a more different approach would be more valuable and impactful.

[160] The number of skills gaps is based on a targeted decrease of 5% of the FY18 target.

[161] FY20 time-to-hire data excludes time in security and time to onboard. In addition to the referenced increase in recruitment and hiring activity that was planned for FY20, the additional requirements to hire per the CARES Act hindered the Department's achievement of the FY20 target of 93 days.

▶ **Average Time-to-Classify New Position Description**[162]
This measure will track the average number of days needed to classify new position descriptions. HUD will implement improvements in the position description classification process to reduce completion times. Improvements will positively impact the time-to-hire process.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
45 days	35 days	39 days	35 days	64 days[163]	26 days

▶ **Average Time to Complete Job Analysis**
This measure will track the average number of days it takes to complete the Job Analysis process. HUD will analyze current and historical data for the Department and identify process improvements to facilitate efficiencies that streamline this step.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
37 days	74 days	23 days	34 days	36 days	26 days

▶ **Average Time to Draft Announcements**
This measure will track the average number of days it takes to draft and finalize Job Opportunity Announcements for posting. HUD will analyze current and historical data for the Department and identify process improvements to facilitate efficiencies that streamline this step.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
12 days	31 days	26 days	27 days	23 days[164]	20 days

▶ **Number of Career Path Tools to Facilitate Reskilling Human Capital Resources**[165]
This measure will track the number of career path tools created by HUD.[166]

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	N/A	4	0[167]	6

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[162] This metric is a new addition, first appearing in the FY21 edition of the HUD Annual Performance Plan and FY19 Report.
[163] FY20 Actual results for this metric reflect the Department's Shared Service provider's increased attrition amongst its workforce with the requisite Federal Classification Standards knowledge. The Department has discussed the need for the provider to consistently meet the service level stipulated in our Interagency Agreement in FY21 and beyond.
[164] FY20 actual for Average Time to Draft Announcement reflects the noted increase of recruitment and hiring actions completed during FY20. Additionally, the increased hiring requirements provided by the CARES Act influenced this metric, particularly in the third and fourth quarters of FY20. An average cycle time of 23 days meets the defined service level of the Department's Human Resources Shared Service provider as stipulated in the Department's Interagency Agreement.
[165] This metric is a new addition, first appearing in the FY21 HUD Annual Performance Plan and FY19 Annual Performance Report. As such, FY16-FY18 actuals do not appear as data was not available.
[166] Career path tools are guides employees can use to develop individualized plans to attain their career goals. They also detail requirements for progression into higher grade levels.
[167] The Department did not have the budget to fund this work in FY20.

OTHER INDICATORS

▶ **Number of pre-complaint resolutions occurring through traditional counseling, withdrawals, and the Alternate Dispute Resolution Process[168]**

This measure tracks the number of pre-complaint resolutions occurring through the Alternate Dispute Resolution Process.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
50	59	75	34[169]	19	Tracking Only

▶ **Percentage of positive responses to the Federal Employee Viewpoint Survey (FEVS) employee engagement and performance questions**

This measure will track FEVS Employee Engagement Index responses relative to its three (3) indices (Leaders Lead, Supervisors, and Intrinsic Work Experience) and indicators relative to the New IQ for Diversity and Inclusion ("Concerning Fairness," "Being Supportive," "Open," "Cooperative," and "Empowering").

	FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual[170]	FY20 Target
Employee Engagement Index Score	66%	69%	67%	68%	*TBD*	Tracking Only
Combined Performance Indicator Score (New IQ)	N/A	62%	61%	61%	*TBD*	Tracking Only

▶ **Human Capital Performance Management Data**

This measure will track the percentage of annual Performance Accountability and Communication System (PACS) and Employee Performance Planning and Evaluation System (EPPES) performance and compensation actions (monetary or non-monetary) that are processed within three pay periods of the final date set in the annual Performance Awards Guidance Memorandum.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
90%	94%	97%	98%	TBD[171]	Tracking Only

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[168] This metric appeared as a key performance indicator in previous versions of the HUD Annual Performance Plan and Report. The metric has been reclassified as an "other indicator" due to a change in HUD's strategic focus towards equal employment opportunity. The change also reflects HUD's Office of Departmental Equal Employment Opportunity's (ODEEO) indirect influence over the number equal employment cases brought forward. The move also reflects the absence of an Equal Employment Opportunity Commission (EEOC) requirement that agencies achieve a minimum annual amount of alternate dispute resolutions.

[169] In the absence of HUD's complaints tracking system, iComplaints, 19 cases were identified as withdrawn (no complaint filed). The Equal Employment Opportunity Commission (EEOC) provided new guidance in 2018 to address contacts that did not result in pre-complaint activity. In the past, these numbers were included, but should not have been since the aggrieved person elected not to pursue the EEO process. This may also explain the reduction in numbers compared to prior reports. ODEEO acquired a new case tracking system in October 2019. Efforts to migrate data remain underway.

[170] Due to the delay of the FY20 Federal Employee Viewpoint Survey (FEVS – launches September 24th and closes November 5th), both the Employee Engagement Index Score and Combined Performance Indicator Score (New IQ) will remain TBD until the survey has been administered and the agency receives the FY20 results well into FY21.

[171] Close out of the FY20 performance management cycle is projected for completion by the end of Q1/FY21.

▶ **Number of performance-based actions**
This measure will track the number of performance-based actions, including employee improvement plans, conducted by the Department.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
26	31	39	74	TBD[172]	Tracking Only

▶ **Deliver developmental training opportunities**
This measure will track the developmental training opportunities made available to HUD employees, managers, and senior leaders, to support Succession Management and develop bench strength in the management/leadership pipeline.

	FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
Number of workshops, seminars, and trainings for senior leaders, managers, and supervisors	93	220	202	179	546[173]	Tracking Only
Number of HUD LEARN-sponsored employee development opportunities	283	494	374	152	170	Tracking Only
Percentage of managers and supervisors who have received performance-related training (Refresher Training only: FY19 and beyond)	N/A	8%	99.8%	29%[174]	79%	Tracking Only

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[172] Close out of the FY20 performance management cycle is projected for completion by the end of Q1/FY21.
[173] The large increase in Senior Leader, Manager, and Supervisor learning activities accounts for both HUD LEARN sponsored events and Departmental Program Office sponsored activities to which HUD LEARN provides support. This outreach began in late FY19 and has proven to be an effective way to provide collaboration and knowledge-sharing opportunities across the Department.
[174] OMB Memo M-17-22 mandated delivery of training on "Managing Poor Performers" to all managers by the end of FY18. HUD has accomplished this goal. As such, there are no mandatory targets to conduct performance management training in FY19 and FY20. HUD, however, has continued to deliver Performance Management Refresher Training to improve accountability.

Major Initiative: Streamline Acquisition Management

Ensure contracts provide exceptional customer service and achieve savings for taxpayers.

2020 APR PROGRESS UPDATE

HUD continues to integrate Category Management into its strategic acquisition planning process. The Office of the Chief Procurement Officer (OCPO) has provided training to both program offices and contracting staff. OCPO meets with program offices during the development of the strategic acquisition plan to look for opportunities to use Best-In-Class (BIC) contracting vehicles to drive savings and efficiency. Because HUD exceeded its goal for Spend Under Management (SUM) during FY19, the Department was recognized by OMB as one of three cabinet-level departments with an outstanding Category Management (CM) program and asked to present best practices at an OMB-sponsored CM Roundtable in the first quarter of FY20. Early in FY20, HUD established an additional policy on category management and the use of mandatory contract vehicles. The policy also establishes an order of precedence which reinforces the use of government-wide and enterprise-wide vehicles over standalone contractual instruments. The Department also achieved 138% of its BIC goal and 118% of the SUM goal, exceeding targets set.

LEADING THIS INITIATIVE
Objective Lead   Jack Bobbitt   *Assistant Secretary*   Office of the Assistant Secretary for Administration

Cross-Agency Priority Goal: *Frictionless Acquisition*[175]

The Department continues to leverage the Program Management Improvement Accountability Act (PMIAA) to improve program and project management practices. HUD LEARN continues to offer career pathing tools (0340 Project Manager) and nontraditional opportunities to its workforce to strengthen skills and competencies in project management. In FY20, HUD continued to provide learning opportunities specifically focused on project management and increased its outreach by offering courses to staff on the west coast, where time differences limited access to this type of training. HUD continued to update and align Program/Project Management policies with PMIAA in FY20 to continue to improve management of major acquisitions. We are currently completing a top-to-bottom review of our Federal Acquisition Certification for Program and Project Managers (FAC- P/PM) workforce members to verify and validate certification as well as training and experience.

HUD completed its first PMIAA portfolio review during the first quarter of FY20. HUD's Chief Procurement Officer is designated as the Program Management Improvement Officer (PMIO). The PMIO has played a key role in the development of acquisition-specific portfolio review criteria that was used to conduct our initial portfolio review. HUD also identified key strategic goals in guiding its selection of FY20 portfolios to review. The Department has embedded this annual portfolio review process into its Agency-Wide Integrity Task Force, specifically through its Acquisitions subcommittee. This aligns PMIAA and acquisition management initiatives with the Department's enterprise-wide PMO, the Agency-Wide Integrity Task Force.

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[175] The Cross-Agency Priority (CAP) Goal formerly known as "Improve Management of Major Acquisitions" has been refreshed and renamed "Frictionless Acquisition."

COVID-19 Impacts and Response

Shortly after the Department went on mandatory telework for COVID-19 in mid-March, OMB suspended portfolio reviews for the remainder of FY20. HUD is planning to begin conducting portfolio reviews again beginning the first quarter of FY21.

The target for percentage of planned actionable acquisition requirements submitted by the Target Requisition Release Date (TRRD) was not met, in part, due to competing priorities in the program offices due to COVID-19.

STRATEGIES AND MAJOR MILESTONES

Strategies	Major Milestones
CAP Goal: *Category Management – Leveraging Common Contracts and Best Practices to Drive Savings and Efficiencies* to buy common goods and services as an enterprise to eliminate redundancies, increase efficiency, and deliver more value and savings from the government's acquisition programs.	*Establish annual goals to increase the use of BICs and align spend to category management principles, consistent with statutory socio-economic responsibilities.* **10/1/2019:** HUD established SUM goal of $300 million and BIC obligation goal of $100 million based on OMB agency specific annual BIC goals. – *Achieved as of 9/30/2020*
Improve Acquisition Systems, Processes & Management to make acquisition planning truly strategic so that planned contract actions supporting the mission requirements of HUD will meet or beat delivery schedules, provide exceptional customer service, and achieve savings or cost avoidance for the taxpayer.	*Improve Strategic Acquisition Planning* **6/30/2020:** Begin the strategic acquisition planning process for FY 2021 earlier so that all acquisition plans are approved prior to the start of the 4th Quarter of FY 2020. – *Achieved as of 8/31/2020*
CAP Goal: Promote *Frictionless Acquisition* to ensure contracts supporting priority projects will meet or beat delivery schedules, provide exceptional customer service, and achieve savings or cost avoidance for the taxpayer.	*Track Investments Using Portfolio Management Principles (Implement PMIAA)* **9/30/2020:** HUD developed its process for PMIAA portfolio reviews and met with OMB to discuss process. OCPO will finalize its first PMIAA portfolio review in FY20. – *Achieved as of 11/30/2019*

KEY PERFORMANCE INDICATORS

To help achieve this objective, HUD has established the following performance indicators:

▶ **Acquisition Survey Satisfaction**
  This measure will track stakeholder satisfaction and feedback through stakeholder surveys.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	N/A	N/A	83%	80%

▶ **On-Time Execution of All Procurement Actions - PALT**
This measure will track the percentage of all procurement actions awarded within the established Procurement Acquisition Lead Times (PALT).

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	84.3%	77%	81%	90%

▶ **On-Time Submission of Planned Actionable Acquisition Requirements**
This measure will track the percentage of actionable acquisition requirements submitted by customer offices by the Target Requisition Release Date (TRRD).

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual[176]	FY20 Actual	FY20 Target
N/A	N/A	48%	33%	41%	75%

▶ **On-Time Award of Planned Actionable Acquisition Requirements**
This measure will track the percentage of awards by the Target Award Date (TAD) of actionable acquisition requirements submitted by program offices by the TRRD.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	77%	78%	79%	83%

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[176] When the FY19 Annual Strategic Acquisition Plan (ASAP) was published in September 2018, many of the submission dates for acquisition requirements were in the first two quarters of the fiscal year. The 35-day Federal Government shutdown from December 2018 through January 2019 caused late submission of first and second quarter acquisition requirements.

12. Strategic Objective: Modernize Information Technology

Strengthen tools and processes to improve IT service to internal and external customers.

2020 APR PROGRESS UPDATE

HUD achieved numerous FY20 successes as it continued efforts to modernize its information technology. HUD continued the Centers of Excellence (CoE) Partnership with GSA, launching Phase 2 and initiating development of proofs of concept and plans for its CoE-supported efforts to improve HUD's data analytics, cloud adoption, customers' experience, and contact centers. HUD successfully transitioned to a full telework posture due to COVID-19 restrictions and increased telework capacity with additional licenses, increased network bandwidth, and additional mobile devices to support agency productivity.

LEADING THIS OBJECTIVE
Objective Lead David Chow *Chief Information Officer* Department of Housing and Urban Development

HUD also continued progress towards providing improved, modernized tools and working environments to support staff. With the successful launch of the FHA Catalyst platform, lenders were able to submit electronic binders to FHA, supporting continuation of loan review processes. Additional capabilities are underway to support various processes in the loan lifecycle. Although the roll-out of Wi-Fi in the Field was paused during much of FY20, plans are in place to continue this project once building access is restored. This initiative will continue into FY21. HUD's regional offices are scheduled to be upgraded first, with each region's constituent field locations to follow. Wi-Fi upgrades were also accompanied by broadband internet improvements that improved the network speeds. These changes have led to improved efficiency and better real-time data access.

In addition, HUD has made a generational shift in how FHA, and soon several other program areas across the Agency, conducts business through the initiation of its new information technology platform, FHA Catalyst. Beginning with historic modernization of FHA systems, already the Catalyst platform has enabled:

- Electronic submission of claims, beginning with supplemental claims, previously a paper, manual process, and now including the claims following defaults due to COVID-19. Claims can now be transmitted directly to HUD electronically, and in bulk, via the FHA Catalyst platform and provides an efficient, effective solution in times that require digital transactions.
- Electronic Document Delivery (EDD) digitized loan origination case binders, allowing lenders without the authority to endorse FHA insurance cases on their own to electronically submit these case binders for approval. The EDD Module can now accept Multifamily Housing applications and Office of Native American Program Section 184/184A case binder applications.
- Direct electronic submission of appraisals, providing real-time feedback on appraisal data requirements.

Cross-Agency Priority Goal: *Modernize IT to Increase Productivity and Security*

HUD implemented FHA Catalyst, an electronic platform that supports submission and processing of electronic binders. This platform improved review times and supported electronic submission during a time of full telework due to COVID-19 restrictions. Consistent with Secretarial direction, HUD completed most of the targeted consolidation of HUD IT staff into the Office of the Chief Information Officer (OCIO).[177] HUD met all Technology Management Fund (TMF) milestones required by this goal as it continued work to migrate the IT system off the Unisys mainframe. Although the project experienced some delays due to security and policy changes, it is still targeted to be completed within budget. In FY20, the establishment of a central HUD Security Operations Center (SOC) was completed. The SOC operates as a managed service for identifying, managing, and reporting cyber incidents at the Department.

Cross-Agency Priority Goal: *Leverage Data as a Strategic Asset*

HUD leveraged data as a strategic asset by rethinking how data is organized and managed to support better access and effective use of data throughout the agency. In June 2020, the Chief Data Office designation was transferred from HUD Office of Policy Development and Research (PD&R) to OCIO to consolidate and better align data governance. HUD continued work on key data governance documents including the Department's Data Governance Charter, Data Governance Policy Guidelines, Data Governance Policy Procedures, and Business Processes Glossary. The platform grew with the addition of new data sources from the Office of Community Planning and Development (CPD).[178] As the platform continues to expand, HUD looks to leverage the data stored within it to provide better data analysis to management.

Cross-Agency Priority Goal: *Improve Customer Experience with Federal Services*[179]

From July 2019 through March 2020, the HUD Customer Experience (CX) team identified and quantified its highest impact customer groups and program areas, then documented them in a comprehensive Customer Market Map, which visualizes volume, financial, and sentiment data as well as other critical data points. The CX team also collaborated with program stakeholders and cross-functional leaders to prioritize key customer segments and specific improvement opportunities. This research included interviews with over 50 customers and stakeholders to identify pain points and potential solutions. Since June 2020, HUD has transitioned CX leadership to the Office of the Chief Financial Officer and established HUD-wide governance to implement CX practices.

Cross-Agency Priority Goal: *Improve Outcomes Through Federal IT Spending Transparency*

HUD fully aligned IT spending to the Technology Business Management (TBM) IT Cost Pools and Towers in FY19.[180] In FY20, HUD continued to define its data model and cost pool alignment to improve IT

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[177] Consolidations include the 2210 job series which refers to the Information Technology Management Series classified by OPM. More information on the 2210 job series can be found online at: https://www.opm.gov/policy-data-oversight/classification-qualifications/general-schedule-qualification-standards/0300/gs-2210-information-technology-management-series/.

[178] The CPD Financial Dashboard was automated in FY19 Q3 for the following grant programs: Community Development Block Grant (CDBG), CDBG-Disaster Recovery; Continuum of Care approach to assistance to the homeless (CoC); Housing Opportunities for Persons with Aids (HOPWA) (competitive and non-competitive); Neighborhood Stabilization Program (NSP1 and NSP3); Emergency Solutions Grants Program (ESG); Housing Trust Fund (HTF); Community Builders (CB); Rural Innovation Funds (RIF); and Pay for Success (PFS) Permanent Supportive Housing Demonstration. ESG automation was included in FY19 Q4. Automation of the HOME is scheduled for FY20 Q1.

[179] This CAP goal will be partially realigned to the Expand on Financial Transformation using Intelligent Automation to Improve Financial Management strategic objective of the FY22 Annual Performance Plan.

[180] Technology Business Management (TBM) focuses on using best practices to manage IT like a business. TBM emphasizes the importance of providing leaders with the quality data needed to make well-informed decisions.

management and reporting. HUD also continued to identify ways to use data to improve Departmental outcomes by incorporating cost transparency into its financial and acquisition processes.

HUD has reached out to the Office of Management and Budget (OMB) and Appropriations staff throughout 2020 to keep them informed about budget decisions and modernization efforts. OCIO briefed the Appropriations staff on each line item within the current year's spend plan and the preliminary plans for 2021. OCIO also briefed Congressional Staff on overall IT progress, including planned modernization, and briefed them and OMB specifically on FHA modernization accomplishments and plans.

HUD has continued to satisfy Congressional Expenditure plan requirements by completing a Plan in 2020 to support the FY19 Appropriation requirement for FHA Modernization, HUD's largest and most complex IT initiative. OCIO also met a new Performance Plan requirement for FHA Modernization by submitting a very detailed plan despite the lack of a specified format. OCIO received positive feedback for further enhancing the format and content in response to Appropriations staff comments, allowing Congress to better monitor HUD's progress.

COVID-19 Impacts and Response

Restrictions related to building access and closures impacted several OCIO planned and ongoing infrastructure modernization projects. Notably, plans to upgrade regional and field locations with secure Wi-Fi were put on hold during much of FY20. However, in order to keep HUD functioning during the period of mandatory telework, OCIO took several steps to support widespread telework including increasing HUD Mobile licenses, increasing network bandwidth, and providing internet access support for staff requiring that capability.

STRATEGIES AND MAJOR MILESTONES

Strategies	Major Milestones
Improve utilization of data by streamlining HUD's data collection processes, creating common data definitions, and ensuring only necessary data are collected and reported.	**9/30/2020:** Establish a cloud-based data analytics and data visualization platform for HUD's Office of Single-Family Housing. – *Delayed until 9/30/2022.*[181]
Promote innovative IT service delivery, including modernizing IT infrastructure, to enable on-the-ground staff to enhance program execution.	**4/3/2020:** Deployed Electronic Document Delivery Module for FHA Loan Endorsement case binders. This allowed HUD to continue Mission Essential Function of endorsing FHA insured mortgages. – *Achieved as of 4/3/2020*
	6/25/2020: Deployed Loss Mitigation claim functionality to allow for the receipt of new claims from lenders and borrowers impacted by COVID-19. – *Achieved as of 6/25/2020*
	9/30/2020: Implement eight enterprise-wide IT solutions to streamline HUD processes including Salesforce, Amazon Web Services (AWS), Network bandwidth upgrade, Microsoft TEAMS, Robotic Process Automation (RPA) BOTs, Mobile

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[181] This milestone has been delayed. Part of this capability was delivered in FY 2020 as part of data analytics projects being supported by HUD-GSA CoEs and the data visualization platform in the Single Family Default Monitoring Dashboard, multifamily eviction moratorium lookup tool, and the CPD mobile Dashboard.

	Dashboard, Enterprise Analytics Platform, and User Experience (UX). – *Achieved as of 9/30/2020*[182]
Equip employees with the tools they need to succeed.	**9/30/2020:** Implement Wi-Fi at HUD Regional and designated Field Offices; 33% completion or above. – *Delayed to 9/30/2021*[183] **9/30/2020***:* Increased network bandwidth to support agency-wide telework capabilities by upgrading the network from 1GB to 2GB effective bandwidth circuits and both data centers. – *Achieved as of 8/31/2020*
CAP Goal: *Modernize IT to Increase Productivity and Security* to enhance mission delivery and productivity. HUD will drive value by increasing efficiencies of IT spending while potentially reducing costs and enhancing citizen engagement and satisfaction with the services provided.	*Enhance Federal IT and Digital Services* **9/30/2020:** 100% of TMF project repayment schedules are on time. – *Achieved as of 9/30/2020* **9/30/2020:** 100% of TMF project completion schedules are on time. – *Delayed to 8/31/2021*[184] *Reduce Cybersecurity Risks to the Federal Mission* **7/31/2020:** Develop a Strategic Plan for the Implementation of Continuous Monitoring and Ongoing Authorization.[185] – *Achieved as of 9/30/2020.* **9/30/2020**: Complete several security enhancements: Implement Office 365 (O365) Data Loss Prevention (DLP), perform zero-based system review, accelerate audit finding closure, implement 24x7x365 SOC, implement intelligence threat intel and detection, and improve cybersecurity training and specialized training. – *Achieved as of 9/30/2020* **9/30/2020**: Develop a comprehensive HUD Cybersecurity Strategy and Implementation Plan. – *Achieved as of 3/30/2020* *Build a Modern IT Workforce* **9/30/2020:** Develop organization realignment and improvement plans focusing on cybersecurity areas including incident response, Governance, Risk Management, and Compliance (GRC), security initiatives, and security engineering. Add

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[182] OCIO exceeded expectations in this milestone by implementing eight enterprise-wide IT solutions to streamline HUD processes.
[183] The milestone was delayed due to changes in HUD IT network priorities and facility access restrictions resulting from COVID-19 building closures.
[184] Delay is due to changes in security and policy requiring work before milestones could be completed.
[185] The milestone was originally delayed due to the Federal Government shutdown, which occurred during December 2018 and January 2019, and issues with maintaining contract support.

additional senior cybersecurity leadership (Deputy Chief Information Security Officer [CISO] position) and revitalize the Information System Security Officer (ISSO) program. – *Achieved as of 9/30/2020*

9/30/2020: Engage industry and academia to develop Federal workforce planning strategies that include initiatives to recruit, reskill and redeploy the existing workforce to achieve mission results. These recommendations will be presented to the CIO no later than third quarter FY19. – *Not Achieved*[186]

9/30/2020: Implement identified actions to address two identified skills gaps. – *Achieved as of 9/30/2020*

CAP Goal: *Leverage Data as a Strategic Asset* to grow the economy, increase the effectiveness of the Federal Government, facilitate oversight, and promote transparency. Efforts will focus on improving mission delivery, customer service, and more effectively stewarding resources while respecting privacy and confidentiality.	*Enterprise Data Governance* **6/30/2020:** PD&R proposed a data governance structure and drafted a charter as well as a master data management approach to address data standardization and cross the silos. – *Achieved as of 6/30/2020* **9/30/2020:** Publish Data Governance Charter. – *Delayed to 9/30/2021*[187] **9/30/2020:** Publish Data Governance Policy Guideline and Procedure. – *Delayed to 9/30/2021*[188] *Access, Use, and Augmentation* **9/30/2020:** Draft and publish Enterprise Data Management Policy. – *Delayed to 9/30/2021*[189] **9/30/2020:** Publish Business Glossary Processes. – *Delayed to 9/30/2021*[190] *Decision-Making and Accountability*

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[186] Milestone canceled. HUD was able to identify what initiatives to pursue without direct engagement with academia or the private sector. OCIO has developed organization realignment and improvement plans. One of the major focuses is the cybersecurity areas in which the organization has been flat with lack of expertise and resources. OCIO's realignment will include expansion of cybersecurity group to four major components:
1.Incident Response
2.Governance, Risk Management, and Compliance (GRC)
3.Security initiatives
4.Security engineering
[187] This milestone was delayed due to the June transfer of the Chief Data Officer function and prioritization of daily operations due to COVID-19.
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	9/30/2020: Update Data Quality Management Handbook. – *Delayed to 9/30/2021[191]*
	9/30/2020: Establish a Chief Data Office to lead data efforts HUD-wide. – *Achieved as of 7/19/2019*
	Commercialization, Innovation, and Public Use
	9/30/2020: Enhance current Enterprise Geographic Information System (eGIS) datasets for public use. – *Achieved as of 9/30/2020*
CAP Goal: *Improve Customer Experience with Federal Services* by improving the usability and reliability of HUD's most critical digital services. Efforts will increase communication and accessibility between HUD and the citizens it serves.[192]	*Improve Digital Services* **9/30/2020:** Digitize Office of Housing claim submissions, loan endorsement case binders, and appraisal processes through the implementation of the FHA Catalyst platform. – *Achieved as of 9/30/2020* **9/30/2020:** Develop initial RPA capability through the completion of several pilot robotics projects. Established Robotics Governance Framework. – *Achieved as of 9/30/2020*
CAP Goal: *Shift from Low-Value to High-Value Work to* Implement a Digital Services Program Management Office to increase access to Labor-Saving Digital Services.[193]	6/30/2020: Establish a governance framework for RPA development across HUD Offices. – *Achieved as of 7/7/2020* 6/30/2020: Move Pilot RPA Projects into Production. – *Achieved as of 2/28/2020* TBD: Establish a Digital Services Program Management Office (DSPMO) to oversee enterprise-wide access and implementation of RPA.[194] – *Not achieved.* TBD: Begin development of RPA projects HUD-wide.[195] – *Achieved as of 7/8/2020*
CAP Goal: *Improve Outcomes Through Federal IT Spending Transparency* by empowering Federal executives to make data-driven decisions. HUD will support executives'	*Increase Granularity in the Current IT Portfolio* **9/30/2020:** Improve budget and portfolio transparency through increased communication

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[191] This milestone was delayed due to the June transfer of the Chief Data Officer function and prioritization of daily operations due to COVID-19.

[192] Previously, OCIO was solely responsible for this strategy. In 2020, some CX activities were led by OCFO. This CAP goal will be split between OCIO and OCFO's Improve Financial Controls through Financial Transformation strategic objective moving forward.

[193] Labor-saving digital services are being implemented in the Department, and milestones relevant to this strategy are being pursued and tracked across multiple objectives. Therefore, this strategy will no longer appear in future versions of the HUD Annual Performance Plan and Annual Performance Report.

[194] This milestone was partially achieved as of July 7, 2020, when HUD established a centralized Digital Services Robotics program that replaced the DSPMO. Due to both this milestone being contingent upon enactment of the FY21 President's Budget and the DSPMO being replaced by the Digital Services Robotics program, no target date was ever established for this milestone.

[195] This milestone was contingent upon enactment of the FY21 President's Budget, and therefore, no firm target date was established for this milestone prior to its completion.

analysis of trade-offs between cost, quality, and derived value of IT investments.

with OMB and Appropriations staff. – *Achieved as of 9/30/2020*

9/30/2020: Improve content and communication of Expenditure Plans and implement Performance Plan reporting as required. – *Achieved as of 9/30/2020*

Develop Implementation Guidelines and Enabling Mechanisms

12/31/2019: Standardize services and business unit elements. – *Delayed to 9/31/2021[196]*

KEY PERFORMANCE INDICATORS

To help achieve this objective, HUD has established the following performance indicators:

▶ **Number of HUD mainframe systems decommissioned/migrated**
This measure will track the number of HUD mainframe systems which are decommissioned or migrated off the mainframe.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	2	0	1	0[197]	4

▶ **Average of Employee IT Survey Satisfaction Score[198]**
This measure will track employee satisfaction and feedback through an IT customer survey.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
97%	86%	95%	88%	95%	85%

▶ **Number of Enterprise IT Solutions Implemented**
This measure will track the number of enterprise-wide IT solutions that are implemented to streamline manual or cumbersome processes.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
8	4	3	3	8	2

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[196] Business units were standardized but service standardization was delayed due to reprioritization of resources.
[197] Decommissioning delay was due to COVID-19 restrictions and changes in data security policy.
[198] End-user services are transitioning. Reduced targets are reflective of this transition.

13. Strategic Objective: Reform Regulations

Empower our partners and customers by reducing burdensome regulations.

2020 APR PROGRESS UPDATE

On September 29, 2020, the Department published its "Enhancing and Streamlining the Implementation of Section 3 Requirements for Creating Economic Opportunities for Low- and Very Low-Income Persons and Eligible Businesses" final rule. The final rule became effective on November 28, 2020. The final rule amended HUD's Section 3 regulations, which had not been updated since 1994. This final rule will make Section 3 compliance easier since reporting of labor hours is more consistent with business practices for most construction contractors working on HUD assisted or insured projects. The rule also created a "Targeted Section 3 Worker" designation. A "Targeted Section 3 Worker" designation would reflect both statutory and policy priorities by being defined as a subset of all low- and very low-income workers and priority businesses. This addresses a long-standing criticism that spatially targeted subsidies transfer jobs away from other areas without creating job opportunities for the neediest individuals in the targeted area.

> **LEADING THIS OBJECTIVE**
>
> **Objective Lead**
> Michael B. Williams
> *Principal Deputy General Counsel*
> Department of Housing and Urban Development

Based on HUD's regulatory impact analysis, HUD expects that the changes reflected in the final rule will have multiple impacts relative to the status quo. Anticipated net impacts include an additional transfer of between 3,900 and 13,200 full-time employment opportunities to defined Section 3 workers, increased flexibility for workers and employers to set work schedules, improved compliance with Section 3 requirements, a 68 percent reduction in the estimated time dedicated to Section 3 recordkeeping (for a total cost savings to employers of approximately $2.4 million annually), increased income for residents of HUD-assisted housing, a modest reduction of HUD rental assistance payments as a result of higher tenant incomes, and the potential for some improvements in hiring practices that will benefit workers and contractors.

On April 5, 2019, HUD published the Removal of Obsolete and Superseded Guidance Documents notice, announcing that the Department had completed a comprehensive review of all administrative guidance and identified certain guidance documents deemed unnecessary and obsolete.[199] The review resulted in the removal of approximately 660 sub-regulatory guidance documents from HUD's program websites. The removal of this dated material will reduce compliance burdens, promote regulatory analysis, and facilitate fair notice and administrative due process.[200] The removal of this material will make it easier for the public to find and focus efforts on the guidance that is current. HUD followed up the April 5, 2019, notice with a second notice published on November 3, 2020, that announced HUD is removing or archiving 2,335 additional sub-regulatory guidance documents.[201] The Department identified these guidance documents as part of a broader review of agency guidance under Executive Order 13891,

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[199] The notice was published as part of HUD's continuing effort to implement Executive Orders 13771, "Reducing Regulation and Controlling Regulatory Costs (https://www.federalregister.gov/documents/2017/02/03/2017-02451/reducing-regulation-and-controlling-regulatory-costs)," and 13777, "Enforcing the Regulatory Reform Agenda (https://www.federalregister.gov/documents/2017/03/01/2017-04107/enforcing-the-regulatory-reform-agenda)." The notice can be found here: https://www.govinfo.gov/content/pkg/FR-2019-04-05/pdf/2019-06757.pdf.
[200] This is the first phase of document removal; HUD anticipates a second phase of removal of obsolete guidance.
[201] The notice can be found here: https://www.federalregister.gov/documents/2020/11/03/2020-23986/removal-and-archiving-of-additional-obsolete-and-superseded-guidance-documents.

which required each agency to "review its guidance documents and, consistent with applicable law, rescind those guidance documents that it determines should no longer be in effect."

COVID-19 Impacts and Response

The Coronavirus Aid, Relief, and Economic Security Act (CARES Act) appropriated approximately $2.2 trillion in total funding toward the effort to mitigate the economic impact upon the nation brought on by the COVID-19 pandemic. Among other things, it provided significant relief to owners and renters of federally assisted and federally insured programs, including forbearance and a moratorium on foreclosures and a temporary eviction moratorium. It also appropriated approximately $12.4 billion to HUD's programs to assist grantees respond to, and prepare for, the coronavirus. The CARES Act also authorized the Secretary to waive or specify alternative requirements for many of the programs covered to ensure the safe and effective administration of these funds, consistent with the purposes described of the CARES Act, to prevent, prepare for, and respond to the pandemic.

As a result of the CARES Act and the need to expeditiously provide the American public the assistance provided by the Act, significant staff resources were directed to drafting the guidance documents required to distribute the funds. Documents included program notices, mortgagee letters, funding announcements, and Questions and Answers (Q&As). Overall, HUD drafted, reviewed, and issued almost 75 documents associated with the CARES Act. Each of these documents was reviewed for legal sufficiency and shared with the Office of Information and Regulatory Affairs for review.

STRATEGIES AND MAJOR MILESTONES

Strategies	Major Milestones
Develop and implement a package of regulatory and proposed statutory updates to alleviate costly, non-value-add policies.	**9/30/2020:** Develop and implement an annual package of regulatory and proposed statutory updates. – *Achieved as of 9/30/2020.*

KEY PERFORMANCE INDICATORS

To help achieve this objective, HUD has established the following performance indicators:[202]

▶ **Number of EO 13771 regulatory actions**
HUD will track the number of new regulatory actions, which impose new costs on the public, it issues each fiscal year.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	1	1	0	2

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[202] Actuals do not exist for fiscal years prior to FY18 as EO 13771 and HUD's tracking of regulatory actions in accordance with it did not take effect until FY18.

▶ **EO 13771 deregulatory actions issued**

HUD will track how many cost-saving deregulatory actions it issues each fiscal year.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	9	3	5	4

▶ **Number of evaluations to identify potential EO 13771 deregulatory actions that included opportunity for public input and/or peer review**

HUD will track the amount of evaluations which integrate public input or peer reviews into HUD assessments.

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	2	14	12	13

▶ **Total incremental cost of all EO 13771 regulatory and deregulatory actions**

HUD will track the total estimated net cost-savings of regulatory and deregulatory actions issued during each fiscal year.[203]

FY16 Actual	FY17 Actual	FY18 Actual	FY19 Actual	FY20 Actual	FY20 Target
N/A	N/A	$507M	$298.2M	$451.7M	$332M

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[203] From FY18-20, HUD estimated a net cost savings of approximately $1.257 billion through the streamlining, clarifying, and updating of HUD's regulations. This indicator aligns with CAP Goal 6: Shifting from Low- to High-Value Work.

Cross-Agency Priority Goals

Established by the GPRA Modernization Act of 2010, Cross-Agency Priority (CAP) Goals are a tool used by the Administration to accelerate progress on a limited number of Presidential priority areas where implementation requires active collaboration between multiple agencies, overcoming organizational barriers to achieve better performance than one agency can achieve on its own.

Set or revised at least every four years, CAP Goals include outcome-oriented goals that cover a limited number of crosscutting policy areas as well as management goals focused on administrative improvements across the Federal Government. A series of fourteen Administration-wide CAP Goals have been established to improve the management of Federal finances, human capital, information technology, acquisitions, and regulations. Each goal features: clearly named accountable officials, data-driven reviews that incorporated a broad range of quantitative and qualitative inputs, and reporting to the public through a common website as a framework to drive performance improvements on cross-government collaboration and tackle government-wide management challenges affecting most agencies.

Summaries of HUD's activities in support of the CAP Goals are available in the preceding *Strategic Objective* sections of this document. Each Goal has been mapped to the HUD Strategic Objective designed to support its aims. A list of each CAP Goal and its related Objective is available below.

#	Cross-Agency Priority Goal	Related Strategic Objective(s)	Page
1	Modernize IT to Increase Productivity and Security	Modernize Information Technology	78 & 80
2	Leverage Data as a Strategic Asset	Modernize Information Technology	78 & 81
3	Develop a Workforce for the 21st Century	*N/A[204]*	*N/A*
4	Improve Customer Experience with Federal Services	Improve Financial Controls through Financial Transformation; Modernize Information Technology	60, 78 & 82
5	Share Quality Services	Improve Financial Controls through Financial Transformation	57 & 60
6	Shift from Low-Value to High-Value Work	Improve Financial Controls through Financial Transformation; Modernize Information Technology; and Reform Regulations	60 & 82
7	Category Management	Organize and Deliver Services More Effectively	74 & 75
8	Achieve Results-Oriented Accountability for Grants	Improve Financial Controls through Financial Transformation	63 & 65
9	Get Payments Right	Improve Financial Controls through Financial Transformation	57 & 60
10	Improve Outcomes Through Federal IT Spending Transparency	Modernize Information Technology	78 & 82

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[204] HUD does not directly participate in this CAP Goal. The Department will continue to follow the guidance provided by OMB and the lead agencies designated for this CAP Goal.

11	**Frictionless Acquisition[205]**	Organize and Deliver Services More Effectively	74 & 75
12	**Modernize Infrastructure Permitting**	Support Effectiveness and Accountability in Long-Term Disaster Recovery[206]	44 & 45
13	**Security Clearance, Suitability, and Credentialing Reform**	*N/A[207]*	*N/A*
14	**Improve Transfer of Federally Funded Technologies from Lab-to-Market**	*N/A[208]*	*N/A*

For further CAP Goal information, please visit https://www.performance.gov/.

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[205] The Cross-Agency Priority (CAP) Goal formerly known as "Improve Management of Major Acquisitions" has been refreshed and renamed "Frictionless Acquisition."

[206] HUD has completed all planned activities related to this CAP Goal. The Department will continue to follow the guidance provided by OMB and the lead agencies designated for this CAP Goal.

[207] HUD does not directly participate in this CAP Goal. The Department will continue to follow the guidance provided by OMB and the lead agencies designated for this CAP Goal.

[208] HUD does not participate in this CAP Goal as the Department does not conduct technology-related research and development.

Section Three: Additional Information

Major Management Priorities and Challenges

Major management priorities and challenges are addressed by the strategic goals to *Protect Taxpayer Funds* and *Streamline Operations*. Please see the HUD management objectives (*Improve Financial Controls through Financial Transformation, Organize and Deliver Services More Effectively, Modernize Information Technology, and Reform Regulations*) for information on the management priorities and challenges HUD will be pursuing as part of the *Protect Taxpayer Funds* and *Streamline Operations* goals*.*

Acronym List

Acronym	Definition	Acronym	Definition
AACI	America's Affordable Communities Initiative	CDBG	Community Development Block Grant
AC	Alternative Construction	CDBG-DR	Community Development Block Grant – Disaster Recovery
ACC	Annual Contributions Contract	CDBG-MIT	Community Development Block Grant Mitigation
ACHP	Advisory Council on Historic Preservation	CDC	Centers for Disease Control and Prevention
ADR	Alternate Dispute Resolution	CEQ	Council on Environmental Quality
AEOTF	Advancing Economic Opportunity Task Force	CFO	Chief Financial Officer
AFGE	American Federation of Government Employees	CIO	Chief Information Officer
AIDS	Acquired Immunodeficiency Syndrome	CISO	Chief Information Security Officer
AIR	Accountability, Integrity, and Risk	CM	Category Management
APG	Agency Priority Goal	CNCS	Corporation for National and Community Service
APP	Annual Performance Plan	CoC	Continuum of Care
APR	Annual Performance Report	CoE	Center of Excellence
ARC	Administrative Resource Center	CPD	Office of Community Planning and Development
ASAP	Annual Strategic Acquisition Plan	CRM	Customer Relationship Management
AUS	Automated Underwriting System	CSO	Chief Strategy Officer
AWITF	Agency-Wide Integrity Task Force	CV	Coronavirus Disease 2019 / COVID-19
AWS	Amazon Web Services	CWCOT	Claims Without Conveyance of Title
BFS	Bureau of Fiscal Service	CX	Customer Experience
BIC	Best-In-Class	CXO	Chief Customer Experience Officer
BLL	Blood Lead Level	DAP	Development Application Processing System
CAP	Cross-Agency Priority	DATA Act	Digital Accountability and Transparency Act
CARES Act	Coronavirus Aid, Relief, and Economic Security (CARES) Act	DEC	Departmental Enforcement Center
CB	Community Builders	DLP	Data Loss Prevention

Acronym	Definition	Acronym	Definition
DOI	United States Department of Interior	**EPPES**	Employee Performance Planning and Evaluation System
DOJ	United States Department of Justice	**ERM**	Enterprise Risk Management
DOL	United States Department of Labor	**ESG**	Emergency Solutions Grants
DOT	Declaration of Trust	**ESG-CV**	Emergency Solutions Grants-Coronavirus
DPA	Down Payment Assistance	**FAC-P/PM**	Federal Acquisition Certification for Program and Project Managers
DRGR	Disaster Recovery Grant Reporting	**FAI**	Federal Acquisition Institute
DRGR/GMP	Disaster Recovery Grant Reporting/ Grants Management Process	**FAITAS**	Federal Acquisition Institute Training Application System
DRSI	Disaster Recovery and Special Issues	**FAQ**	Frequently Asked Questions
DSA	Departmental Skills Assessment	**FASS**	Financial Assessment System
DSPMO	Digital Services Program Management Office	**FAST Act**	Fixing America's Surface Transportation Act
DTI	Debt-to-Income	**FDM**	Financial Data Mart
EBLL	Elevated Blood Lead Level	**FEMA**	Federal Emergency Management Agency
EDD	Electronic Document Delivery	**FEVS**	Federal Employee Viewpoint Survey
EDM	Enterprise Data Management	**FFATA**	Federal Funding Accountability and Transparency Act
EEI	Employee Engagement Index	**FHA**	Federal Housing Administration
EEO	Equal Employment Opportunity	**FHEO**	Office of Fair Housing and Equal Opportunity
EEOC	Equal Employment Opportunity Commission	**FLAP**	Federal Lead Action Plan
EEOD	Equal Employment Opportunity and Diversity	**FOD**	Field Office Directors
EFRM	Enterprise and Fraud Risk Management	**FPISC**	Federal Permitting Improvement Steering Council
eGIS	Enterprise Geographic Information System	**FPM**	Office of Field Policy and Management
EO	Executive Order	**FQMR**	Field Quality and Management Reviews
EOD	Entrance on Duties	**FSS**	Family Self-Sufficiency
EPA	United States Environmental Protection Agency	**FTE**	Full-Time Equivalent
EPD	Early Payment Defaults	**FY**	Fiscal Year

Acronym	Definition	Acronym	Definition
FYE	Fiscal Year End	IDE	Intelligent Data Extraction
GAO	United States Government Accountability Office	IDIS	Integrated Disbursement and Information System
Ginnie Mae	Government National Mortgage Association	IMS	Integrated Management System
GONE Act	Grants Oversight and New Efficiency (GONE) Act	IPERIA	Improper Payments Elimination and Recovery Improvement Act
GPRA	Government Performance and Results Act	iREMS	Integrated Real Estate Management System
GRC	Governance, Risk Management, and Compliance	IRP	Interest Reduction Payments
GSA	General Services Administration	IRS	Internal Revenue Service
HAP	Housing Assistance Payment	ISSO	Information System Security Officer
HCCRT	HUD CARES Act Compliance and Response Team	IT	Information Technology
HCOP	Human Capital Operating Plan	LIHTC	Low-Income Housing Tax Credit
HCV	Housing Choice Vouchers	LMS	Learning Management System
HDX	Homelessness Data Exchange	LOCCS	Line of Control Credit System
HECM	Home Equity Conversion Mortgage	LSHR	Lead Safe Housing Rule
HEROS	HUD Environmental Review Online System	MBS	Mortgage-Backed Securities
HHS	United States Department of Health and Human Services	MCA	Managerial Cost Accounting
HIC	Housing Inventory Count	MCO	Mission-Critical Occupation
HIM	Hurricanes Harvey, Irma, and Maria	MHCC	Manufactured Housing Consensus Committee
HIPAA	Health Insurance Portability and Accountability Act of 1996	MMI	Mutual Mortgage Insurance
HISP	High Impact Service Provider	MMIF	Mutual Mortgage Insurance Fund
HMIS	Homeless Management Information System	MPRD	Multifamily Portfolio Reporting Database
HOPWA	Housing Opportunities for Persons with Acquired Immunodeficiency Syndrome (AIDS)	MTW	Moving to Work
HTF	Housing Trust Fund	NEPA	National Environmental Policy Act
HUD	United States Department of Housing and Urban Development	NFFE	National Federation of Federal Employees
HVC	Housing Choice Voucher	NFIP	National Flood Insurance Program

Acronym	Definition	Acronym	Definition
NIEHS	National Institute of Environmental Health Sciences	PBRA	Project-Based Rental Assistance
NOFA	Notice of Funding Availability	PBV	Project-Based Voucher
NOFO	Notice of Funding Opportunity	PD&R	Office of Policy Development and Research
NSC	National Servicing Center	PDF	Portable Document Format
NSP	Neighborhood Stabilization Program	PFS	Pay for Success
NYCHA	New York City Housing Authority	PH	Public Housing
O365	Office 365	PHA	Public Housing Agency
OCFO	Office of the Chief Financial Officer	PHOC	Philadelphia Homeownership Center
OCHCO	Office of the Chief Human Capital Officer	PIC	PIH Information Center
OCIO	Office of the Chief Information Officer	PIH	Office of Public and Indian Housing
OCPO	Office of the Chief Procurement Officer	PIIA	Payment Information and Integrity Act
ODEEO	Office of Departmental Equal Employment Opportunity	PIO	Performance Improvement Officer
OEE	Office of Environment and Energy	PIT	Point-in-Time
OFD	One Federal Decision	PMIAA	Program Management Improvement Accountability Act
OFPP	Office of Federal Procurement Policy	PMIO	Program Management Improvement Officer
OGC	Office of the General Counsel	PMO	Program Management Office
OIG	Office of Inspector General	PREPS	Partial Repair and Essential Power for Sheltering
OLHCHH	Office of Lead Hazard Control and Healthy Homes	PSH	Permanent Supportive Housing
OMB	Office of Management and Budget	Q&A	Questions & Answers
ONAP	Office of Native American Programs	RA	Regional Administrator
OOR	Open Obligations Review	RAD	Rental Assistance Demonstration
OPM	United States Office of Personnel Management	REAC	Real Estate Assessment Center
OZ	Opportunity Zones	REO	Real-Estate Owned
PACS	Performance Accountability and Communication System	RFI	Request for Information
PALT	Procurement Acquisition Lead Times	RIF	Rural Innovation Funds

Acronym	Definition	Acronym	Definition
RMC	Risk Management Council	TAD	Target Award Date
ROSS	Resident Opportunities and Self-Sufficiencies	TBD	To Be Determined
RPA	Robotic Process Automation	TBM	Technology Business Management
S/E	Salaries and Expenses	TE	Tax-Exempt
SaaS	Software as a Service	TMF	Technology Modernization Fund
SAC	Special Applications Center	TOTAL	Technology Open to Approved Lenders
SBA	Small Business Administration	TRACS	Tenant Rental Assistance Certification System
SFS	Standards for Success	TRRD	Target Requisition Release Date
SME	Subject-Matter Expert	UFA	Unified Funding Agency
SNAPS	Special Needs Assistance Programs	UFR	Unified Federal Review
SOA	Statement of Assurance	UX	User Experience
SOC	Security Operations Center	VA	United States Department of Veterans Affairs
SOR	System of Record	VASH	Department of Veterans Affairs Supportive Housing
SPEARS	Section 3 Performance Evaluation and Registry System	VISTAs	Volunteers in Service to America
SUM	Spend Under Management	VITA	Volunteer Income Tax Assistance
SWP	Strategic Workforce and Succession Planning	WCF	Working Capital Fund
TA	Technical Assistance	WHORC	White House Opportunity and Revitalization Council

Data Sources, Limitations and Advantages, and Validation

This section lists the following information for each metric in the APR:

- **Description**
- **Data source**
- **Unit of measurement**
- **Dimension**
- **Calculation method**
- **Frequency**

- **Direction**
- **Data quality (limitations/advantages of the data)**
- **Validation, verification, and improvement of measure**
- **Sequence**

Strategic Objective: Support Fair, Sustainable Homeownership and Financial Viability

Capital Reserve Ratio

- **Description:** The capital ratio compares the "economic net worth" of the Mutual Mortgage Insurance (MMI) Fund to the dollar balance of active, insured loans, at a point in time. Economic net worth is defined as a net asset position, where the present value of expected future revenues and net claim expenses is added to current balance sheet positions. The capital ratio computation is part of an annual valuation of the outstanding portfolio of insured loans at the end of each fiscal year.
- **Data source:** FHA Single Family Data Warehouse Meta Tables
- **Unit of measurement:** Comparative between net asset position to balance of loans
- **Dimension:** Ratio
- **Calculation method:** The Net Present Value of future cash flows plus capital resources divided by insurance-in-force
- **Frequency:** Annual; HUD will investigate ways of showing on a quarterly basis how the business is tracking against the most recent actuarial forecast.
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** The data originate in the Single-Family Insurance System-Claims Subsystem, and for convenience are reported from FHA Single Family Housing Enterprise Data Warehouse.
- **Validation, verification, and improvement of measure:** No data limitations are known to affect this indicator. The loan servicers enter the FHA data, and the FHA monitors the data entry.

90-Day Early Payment Default Rate

- **Description:** This measure is reflective of the credit quality of new endorsements and serves as an important early indicator of mortgage performance. HUD will support sustainable loans that borrowers can afford. Ninety-Day Early Payment Defaults (EPDs) occur when a borrower becomes 90 days delinquent on their FHA-insured mortgage within the first six payments.
- **Data source:** FHA Single Family Data Warehouse Meta Tables
- **Unit of measurement:** Percentage of mortgages endorsed
- **Dimension:** Percentage
- **Calculation method:** Percent of mortgages endorsed with a 90-day delinquency in the first six months of required mortgage payments divided by all mortgages endorsed for the same period
- **Frequency:** Quarterly
- **Direction:** N/A - Tracking Only
- **Data quality (limitations/advantages of the data):** HUD will rely on data from the Single-Family Data Warehouse, which tracks the performance (as measured by mortgage payment made) of FHA borrowers
- **Validation, verification, and improvement of measure:** No data limitations are known to affect this indicator. The loan servicers enter the FHA data, and the FHA monitors the data entry.

Percentage of new FHA-insured purchase mortgages that are first-time homebuyers

- **Description:** This measure computes the percentage of FHA single-family purchase originations for which the borrower is a first-time homebuyer.
- **Data source:** Single-Family Data Warehouse and American Housing Survey
- **Unit of measurement:** Share of FHA originations that belong to first-time homebuyers
- **Dimension:** Percentage

- **Calculation method:** Percentage of FHA originations made to first-time homebuyers.
- **Frequency:** Quarterly
- **Direction:** N/A - Tracking Only
- **Data quality (limitations/advantages of the data):** HUD will rely on data from the Single-Family Data Warehouse, which tracks the number of FHA loans to first-time homebuyers on a quarterly basis.
- **Validation, verification, and improvement of measure**: American Housing Survey is available every 2 years.

FHA market-share of single-family mortgage originations (purchase, refinance, total)

- **Description:** This measure tracks the FHA share of the mortgage market. HUD monitors FHA's role in the housing market and the potential crowding out of private capital. HUD does not maintain any market share goals, and only tracks these data points for informational purposes.
- **Data source:** FHA Single Family Data Warehouse, CoreLogic TrueStandings; Mortgage Bankers Association of America
- **Unit of measurement:** Percentage of FHA Mortgage Originations
- **Dimension:** Percentage
- **Calculation method:** Purchase, refinance, and total share of specified mortgage market over share of entire market
- **Frequency:** Quarterly; Revised Annually
- **Direction:** N/A - Tracking Only
- **Data quality (limitations/advantages of the data):** HUD relies upon the Mortgage Bankers Association of America for total volumes and CoreLogic for average loan amounts (used to derive loan counts).
- **Validation, verification, and improvement of measure:** HUD discussed data quality with Mortgage Bankers Association of America and with CoreLogic and have open communications to express any concerns.

Higher Risk Loans
High Risk Loans - Share of FHA purchase loans with (DTI) >50%

- **Description:** HUD will monitor the percentage of loans with higher risk features. Metrics include the share of FHA-insured home purchase loans with debt to income (DTI) >50% or with down payment assistance (DPA) and the share of FHA refinances that include cash-outs
- **Data source:** Single Family Data Warehouse
- **Unit of measurement:** Percentage of all non-streamline single family forward FHA purchase and non-streamline refinance loans with debt to income (DTI) >50%
- **Dimension:** Percentage
- **Calculation method:** Share of all non-streamline single family forward FHA purchase and non-streamline refinance loans with debt to income (DTI) >50%
- **Frequency:** Quarterly
- **Direction:** N/A - Tracking Only
- **Data quality (limitations/advantages of the data):** FHA is dependent on lender to enter correct data.
- **Validation, verification, and improvement of measure:** No data limitations are known to affect this indicator. The loan servicers enter the FHA data, and the FHA monitors the data entry.

Share of FHA purchase loans with Down Payment Assistance (DPA) (including secondary financing)

- **Description:** HUD will monitor the percentage of loans with higher risk loan program features: Metrics include the share of FHA purchase loans that have associated DPA.
- **Data source:** Single Family Data Warehouse
- **Unit of measurement:** Percentage of FHA purchase loans with DPA
- **Dimension:** Percentage
- **Calculation method:** Share of FHA purchase loans with DPA over all FHA single family forward purchase endorsements
- **Frequency:** Quarterly
- **Direction:** N/A - Tracking Only
- **Data quality (limitations/advantages of the data):** FHA is dependent on lender to enter correct data.

- **Validation, verification, and improvement of measure:** There are known limitations on collection of DPA data as FHA is dependent on lender to enter the correct data at time of closing/endorsement. FHA does not track DPA provider by name and risk management has suggested the system owners do so as soon as possible.

Higher Risk Loans - Share of FHA refinance loans with cash-outs

- **Description:** HUD will monitor the percentage of loans with higher risk loan program features: Metrics include the share of FHA non-streamline refinance endorsements that include cash-outs.
- **Data source:** Single Family Data Warehouse
- **Unit of measurement:** Percentage of FHA non-streamline refinance endorsements that include cash-outs
- **Dimension:** Percentage
- **Calculation method:** Share of cash-out refinance loans over all FHA single family forward non-streamline refinance endorsements
- **Frequency:** Quarterly
- **Direction:** N/A - Tracking Only
- **Data quality (limitations/advantages of the data):** FHA is dependent on lender to enter correct data.
- **Validation, verification, and improvement of measure:** No data limitations are known to affect this indicator. The loan servicers enter the FHA data, and the FHA monitors the data entry.

Strategic Objective: Reduce Homelessness

Length of homelessness

- **Description:** Average length of time persons experience homelessness. At this time, only persons experiencing sheltered homelessness are included in this measure; future data submissions will include persons experiencing unsheltered homelessness as well.
- **Data source:** Data collected in each Continuum of Care's (CoC's) Homeless Management Information Systems (HMIS). Data is reported as "System Performance Measures" into the Homelessness Data Exchange (HDX).
- **Unit of measurement:** Days
- **Dimension:** Weighted Rate
- **Calculation method:** Each CoC is required to collect data and report to HUD annually on specific system performance measures. These measures are based on a set of programming specifications HUD provided to communities to ensure consistency: https://www.hudexchange.info/resource/4483/system-performance-measures-tools/.
- **Frequency:** Annually
- **Direction:** Decrease
- **Data quality (limitations/advantages of the data):** Data is relatively comprehensive as CoCs must report data regardless of funding source. The data is limited by how many projects report their data in Homeless Management Information System (HMIS) and how accurate their data quality is. HUD requires each CoC to track null and missing value information as well as other data quality concerns. The rates of data quality issues per each response element that impacts the system performance measures is submitted to HUD at the time that the measures are submitted. HUD reviews this and includes the data quality piece in its larger evaluation of the system performance measures.
- **Validation, verification, and improvement of measure:** HUD includes the system performance measures in its annual CoC Program Competition, along with data quality and HMIS bed coverage information. This creates incentives to have accurate data as well as to show improved outcomes. HUD will continue to include this as a scoring factor and will incorporate it into more reporting requirements. HUD will provide more resources to improve data quality. HUD provided programming specifications to ensure consistency and will provide more resources to help CoCs test the accuracy of their systems to pull the data.

Number of people experiencing homelessness

- **Description:** Total number of people experiencing homelessness based on a count that occurs on a single night, usually in January.
- **Data source:** Point-in-Time (PIT) count reported in the Homelessness Data Exchange (HDX)
- **Unit of measurement:** Homeless persons on a single night, usually in January
- **Dimension:** Count
- **Calculation method:** A count of homeless persons on a single night, usually in January
- **Frequency:** Although many jurisdictions count annually, 24 CFR 578.7(c)(2) only requires that the counts be done "biennially."

- **Direction:** Decrease
- **Data quality (limitations/advantages of the data):** HUD establishes PIT count guidance annually that states the minimum amount of data that all Continuums of Care (CoCs) must collect and report to HUD. There are additional reporting tools that provide guidance on HUD's reporting requirements and standards.
- **Validation, verification, and improvement of measure:** When CoCs submit their data in the HDX, there are also several validations in HDX itself to ensure consistency in reporting. After the data are submitted, HUD's contractors analyze the data again and call communities if there are further discrepancies that need to be explained or corrected.

Number of people experiencing unsheltered homelessness

- **Description:** Total number of people experiencing unsheltered homelessness based on a count that occurs on a single night, usually in January.
- **Data source:** Point-in-Time (PIT) count reported in the Homelessness Data Exchange (HDX)
- **Unit of measurement:** Homeless persons in specified situation on a single night, usually in January
- **Dimension:** Count
- **Calculation method:** A count of homeless persons on a single night, usually in January
- **Frequency:** Although many jurisdictions count annually, 24 CFR 578.7(c)(2) only requires that the counts be done "biennially"
- **Direction:** Decrease
- **Data quality (limitations/advantages of the data):** HUD establishes PIT count guidance annually that states the minimum amount of data that all Continuums of Care (CoCs) must collect and report to HUD. There are additional reporting tools that provide guidance on HUD's reporting requirements and standards.
- **Validation, verification, and improvement of measure:** When CoCs submit their data in the HDX there are also several validations in HDX itself to ensure consistency in reporting. After the data are submitted, HUD's contractors analyze the data again and call communities if there are further discrepancies that need to be explained or corrected.

Returns to homelessness

- **Description:** National average percentage of people returning to homelessness within 6 months in CoCs.
- **Data source:** Data collected in each Continuum of Care's (CoC's) Homeless Management Information Systems (HMIS). Data is reported as "System Performance Measures" into the Homelessness Data Exchange (HDX).
- **Unit of measurement:** Persons
- **Dimension:** Weighted Percentage
- **Calculation method:** Each Continuum of Care (CoC) is required to collect data and report to HUD annually on specific system performance measures. These measures are based on a set of programming specifications HUD provided to communities to ensure consistency: https://www.hudexchange.info/resource/4483/system-performance-measures-tools/.
- **Frequency:** Annually
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** Data is relatively comprehensive as CoCs must report data regardless of funding source. The data limited by how many projects report their data in HMIS and how accurate their data quality is. HUD requires each CoC to track null and missing value information as well as other data quality concerns. The rates of data quality issues per each response element that impacts the system performance measures is submitted to HUD at the time that the measures are submitted. HUD reviews this and includes the data quality piece in its larger evaluation of the system performance measures.
- **Validation, verification, and improvement of measure:** HUD includes the system performance measures in its annual CoC Program Competition, along with data quality and HMIS bed coverage information. This creates incentives to have accurate data as well as to show improved outcomes HUD will continue to include this as a scoring factor and will incorporate it into more reporting requirements. HUD will provide more resources to improve data quality. HUD provided programming specifications to ensure consistency and will provide more resources to help CoCs test the accuracy of their systems to pull the data.

Percentage of units of permanent supportive housing serving people experiencing chronic homelessness

- **Description:** Proportion of permanent supportive housing units serving people experiencing chronic homelessness.
- **Data source:** Continuum of Care (CoC) Application
- **Unit of measurement:** Percentage of permanent supportive housing beds serving specified individuals and families
- **Dimension:** Percentage
- **Calculation method:** HUD conducts an annual competition for CoC Program funding. HUD encourages CoCs to use existing permanent supportive housing beds/units to serve persons experiencing chronic homelessness, either through dedicating

existing or new beds or by prioritizing existing beds for persons experiencing chronic homelessness. This measure reflects the proportion of all beds/units funded in the competition that are either dedicated or prioritized to serve individuals and families experiencing chronic homelessness.

- **Frequency:** Annually
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** Eligible CoC applicants apply for funding for permanent supportive housing, with prioritized or dedicated beds for the chronically homeless.
- **Validation, verification, and improvement of measure:** HUD staff review each project carefully to ensure the project complies with HUD requirements and reviews the application carefully to verify that the data in the application is accurate.

Percentage of exits from Continuum of Care (CoC)-funded permanent supportive housing to rental assistance with other subsidies

- **Description:** Exits from CoC-funded proportion of permanent supportive housing to less service-intensive housing subsidies
- **Data source:** The Homeless Assistance Application and Grants Management System, e-snaps
- **Unit of measurement:** Number of exits from CoC-funded permanent supportive housing to a subsidized unit
- **Dimension:** Count
- **Calculation method:** HUD's CoC grant recipients are required to report on their grants 90 days after the grant's operating end date. HUD aggregates the data into an annual total.
- **Frequency:** Quarterly
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** CoC Program recipients are required to upload their data directly from HMIS. This prevents clerical error and when data errors arise, the reporting system notifies the recipients that an error exists in the data and the nature of the error. The data in HMIS is tied to other reporting like system performance measures, which creates incentives for communities to ensure the data in HMIS is accurate.
- **Validation, verification, and improvement of measure:** CoC Program recipients are required to upload their data directly from HMIS. This prevents clerical error and when data errors arise, the reporting system notifies the recipients that an error exists in the data and the nature of the error. The reporting tool does not accept data when there are errors. This forces recipients to correct the data in their local HMIS and only allows recipients to submit data that meets a minimum level of data quality and consistency.

Percentage of admissions to core housing programs who were homeless at admission

Public and Indian Housing

Percentage of admissions to Housing Choice Vouchers (HCV) who were homeless at admission

- **Description:** Percentage of households admitted into HCV who were experiencing homelessness at point of entry into the program.
- **Data source:** Integrated Management System/ Public and Indian Housing Information Center (IMS/PIC)
- **Unit of measurement:** Percentage of households admitted into HCV who were experiencing homelessness at point of entry into the program.
- **Dimension:** Percentage
- **Calculation method:** Number of homeless households admitted into HCV program divided by number of all households admitted into HCV program
- **Frequency:** Quarterly
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** Public housing agencies (PHAs) self-report the data. PIH continues to work with PHAs to ensure use of a consistent definition of "homeless" across HUD programs.
- **Validation, verification, and improvement of measure:** PIH issued guidance in the form of Notice PIH 2013-15 to help correct the data quality issue.

Percentage of admissions to Public Housing (PH) who were homeless at admission

- **Description:** Percentage of households admitted into PH who were experiencing homelessness at point of entry into the program.

- **Data source:** Integrated Management System/ Public and Indian Housing Information Center (IMS/PIC)
- **Unit of measurement:** Percentage of households admitted into PH who were experiencing homelessness at point of entry into the program.
- **Dimension:** Percentage
- **Calculation method:** Number of homeless households admitted into PH divided by number of all households admitted into PH
- **Frequency:** Quarterly
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** Public housing agencies (PHAs) self-report the data. PIH continues to work with PHAs to ensure use of a consistent definition of "homeless" across HUD programs.
- **Validation, verification, and improvement of measure:** PIH issued guidance in the form of Notice PIH 2013-15 to help correct the data quality issue.

<u>Housing</u>

Percentage of admissions to Multifamily Housing who were homeless at admission
- **Description:** Percentage of households admitted into Multifamily Housing who were experiencing homelessness at point of entry into the program.
- **Data source:** Tenant Rental Assistance Certification System (TRACS)
- **Unit of measurement:** Percentage of households admitted into Multifamily Housing who were experiencing homelessness at point of entry into the program.
- **Dimension:** Percentage
- **Calculation method:** Number of homeless households admitted into Multifamily units divided by number of all households admitted into Multifamily units
- **Frequency:** Monthly
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** Data collection started in late 2014. Multifamily continues to work with property owners to ensure use of a consistent definition of "homeless" across HUD programs.
- **Validation, verification, and improvement of measure:** N/A

HMIS bed coverage rates in rural CoCs
- **Description:** Percentage of available beds in rural CoCs for which coverage data are being reported into the Homeless Management Information System (HMIS), as a proxy for these communities' level of capacity and coordination with other homeless services providers.
- **Data source:** Housing Inventory Count (HIC)
- **Unit of measurement:** Percentage of available beds in rural CoCs for which coverage data are being reported into the HMIS,
- **Dimension:** Percentage
- **Calculation method:** CoCs annually report their inventory of beds dedicated to persons experiencing homelessness. CoCs also report how many of those beds are recorded in HMIS. HUD will divide the number of beds in HMIS by the total beds available for the rural communities.
- **Frequency:** Annually
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** CoCs annually report their inventory of beds dedicated to persons experiencing homelessness, regardless of funding source. While many CoCs can export data about their housing inventory directly from their local HIMS, CoCs that have projects that are not in HMIS must engage the provider through surveys to obtain the data. The more beds reported in HMIS that are reported in the HIC, the greater the ability for the community to coordinate services and track the outcomes of the projects in the CoC. Because providers that target services survivors of domestic violence are not required to enter data into HMIS, their data quality tends to be lower.
- **Validation, verification, and improvement of measure:** HUD's technical assistance providers work with CoCs to ensure the data is consistent within the HIC and relative to the Point-in-Time (PIT) count data. HUD works with its Federal partners to understand whether they believe the data on their providers is accurate. Further collaboration with Federal partners could improve the data each year.

HUD-VA Supportive Housing (HUD-VASH) utilization
- **Description:** Number of HUD-VASH vouchers currently leased as a proportion of all allocated and active HUD-VASH vouchers.

- **Data source:** Veterans Affairs (VA) Homeless Registry, Integrated Management System/ Public and Indian Housing Information Center (IMS/PIC)
- **Unit of measurement:** Percentage of HUD-VASH vouchers currently leased
- **Dimension:** Count
- **Calculation method:** Number of HUD-VASH vouchers currently leased divided by number of active HUD-VASH vouchers allocated through the previous fiscal year
- **Frequency:** Quarterly
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** This data come from VA's homeless registry after matching and validation with HUD's IMS/PIC system. VA data come from self-reports by case managers working directly with Veterans and are subject to human error and delays in reporting.
- **Validation, verification, and improvement of measure:** The number of active, allocated vouchers changes regularly and at inconsistent intervals because of variations in fiscal year (FY) appropriations. This makes year-over-year comparisons an incomplete means of measuring progress. The denominator of the calculation used to produce this metric uses data from the end of the previous fiscal year (e.g., the metric for F18 voucher utilization will use active vouchers awarded through FY17) to provide a grace period for leasing in the situation of delayed FY appropriations.

Continuum of Care metrics for substance abuse
- **Description:** This measure will track the percent of individuals supported through Continuums of Care who report substance abuse issues.
- **Data source:** Data collected in each Continuum of Care's (CoC's) Homeless Management Information Systems (HMIS). Data is reported as "System Performance Measures" into the Homelessness Data Exchange (HDX).
- **Unit of measurement:** Percentage of individuals receiving support
- **Dimension:** Percentage
- **Calculation method:** Percentage of individuals supported through Continuums of Care who have substance abuse issues
- **Frequency:** Annual
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** HUD does not directly control how money spent as CoC grantees have discretion to use their individual funding to provide a multitude of services allowed under the CoC Program.
- **Validation, verification, and improvement of measure:** HUD's technical assistance providers work with CoCs to ensure the data is consistent and accurate.

Strategic Objective: Remove Lead-Based Paint Hazards and Other Health Risks from Homes

Number of at-risk HUD housing units made healthy, physically safe, and lead-safe each year

Office of Lead Hazard Control and Healthy Homes

Lead Hazard Control Grants
- **Description:** Number of housing units made healthy and lead-safe through HUD's Lead Hazard Control Grants.
- **Data source:** Grantee reports to Healthy Homes Grant Management System
- **Unit of measurement:** Housing units
- **Dimension:** Count
- **Calculation method:** Total of units from each grantee
- **Frequency:** Quarterly
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** Units are counted only after payment has been made after lead hazard control work has been done and the units have been cleared for re-occupancy, so grantees have a fiduciary responsibility to report accurately; but some grantees report on a single unit more than once, as they make partial and then final payments.
- **Validation, verification, and improvement of measure:** Reports are validated against financial payments (LOCCS reporting) and verified by remote and on-site monitoring by grant Government Technical Representatives. Having software checks for duplicate counting of units would improve the measure.

Healthy Homes Grants
- **Description:** Number of housing units made healthy and lead-safe through HUD's Healthy Homes Grants.
- **Data source:** Grantee reports to Healthy Homes Grant Management System
- **Unit of measurement:** Housing units
- **Dimension:** Count
- **Calculation method:** Total of units from each grantee
- **Frequency:** Quarterly
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** Units are counted only after payment has been made after hazard control work has been done and re-occupancy has been allowed, so grantees have a fiduciary responsibility to report accurately; but some grantees report on a single unit more than once, as they make partial and then final payments.
- **Validation, verification, and improvement of measure:** Reports are validated against financial payments (Line of Credit Control System reporting) and verified by remote and on-site monitoring by grant Government Technical Representatives. Having software checks for duplicate counting of units would improve the measure.

Lead Hazard Enforcement
- **Description:** Number of housing units made healthy and lead-safe through HUD's Lead Disclosure Rule Enforcement.
- **Data source:** Property owner/property manager reports
- **Unit of measurement:** Housing units
- **Dimension:** Count
- **Calculation method:** Total of units from each owner/manager
- **Frequency:** Quarterly
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** Units are counted only after the owners/managers have documented completing work and the units have been tested to confirm low lead levels that would allow re-occupancy, so owners/managers face economic and/or court sanctions for not reporting accurately; but limitations on HUD staffing and travel funding preclude on-site quality control checking.
- **Validation, verification, and improvement of measure:** Lead hazard control work is validated by consistency checks on records from owners and managers. They are then verified by EPA- or State-certified lead risk assessors. The measure could be improved with routine on-site quality control checking by HUD lead program enforcement and/or its lead enforcement partners.

Community Planning & Development

Lead Safe Housing Rule (LSHR) - HOME-CDBG-HOPWA
- **Description:** Housing units made lead safe through work under HUD's Lead Safe Housing Rule.
- **Data source:** Reporting by funding recipients as tracked by the Integrated Disbursement and Information System (IDIS)
- **Unit of measurement:** Housing units
- **Dimension:** Count
- **Calculation method:** Total of units from each funding recipient
- **Frequency:** Quarterly
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** Units are counted only after payment has been made for completing work and allowing re-occupancy, so funding recipients have a fiduciary responsibility to report accurately; routine on-site quality control checking for lead results by HUD lead program enforcement and/or its lead enforcement partners is not conducted.
- **Validation, verification, and improvement of measure:** Reports are validated against financial payments (LOCCS reporting) and verified by remote and on-site monitoring by CPD representatives. Measure would be improved by routine on-site quality control checking for lead results by HUD lead program enforcement and/or its lead enforcement partners.

Strategic Objective: Enhance Rental Assistance

Number of Public Housing units transitioned to a sustainable platform

Rental Assistance Demonstration (RAD)
- **Description:** Number of Public Housing (PH) units transitioned to the Section 8 platform through the RAD program.
- **Data source:** RAD Resource Desk.

- **Unit of measurement:** Number of PH units
- **Dimension:** Count
- **Calculation method:** Number of units in transactions that closed within the time period as recorded in the RAD Resource Desk.
- **Frequency:** Quarterly
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** The RAD Resource Desk contains all information on each individual RAD transaction, including the documentation evidencing that a closing has occurred. All transactions should be recorded in IMS/PIC within seven (7) days of closing**.**
- **Validation, verification, and improvement of measure:** The IMS/PIC system records the current status of all public housing inventory removals. Closings in the RAD Resource Desk are compared monthly to unit removals from the IMS/PIC system to ensure accounting consistency. The Office of Recapitalization maintains the RAD Resource Desk. The IMS/PIC system is maintained by PIH. Both systems are reviewed and updated regularly by Public Housing Agencies (PHAs).

Declaration of Trust Release
- **Description:** Number of Public Housing units transitioned from Annual Contributions Contract/ Declaration of Trust (ACC/DOT) through release of the Declaration of Trust in which the PHA retains title to the land.
- **Data source:** Inventory Management System/Public and Indian Housing Information Center (IMS/PIC)
- **Unit of measurement:** Number of PH units
- **Dimension:** Count
- **Calculation method:** Based on PH units approved for a DOT release within the time period as recorded in IMS/PIC
- **Frequency:** Quarterly
- **Direction:** Trending upward
- **Data quality (limitations/advantages of the data):** PHAs begin the process by applying with IMS/PIC. HUD processes the application in IMS/PIC. Then, all transactions are recorded in IMS/PIC within seven (7) days of closing by Field Office. HUD also tracks assignments in an Assignment Tracker.
- **Validation, verification, and improvement of measure:** The Special Applications Center (SAC) maintains a back-up spreadsheet with all transactions listed and verifies in the IMS/PIC system.

Voluntary & Required Conversions
- **Description:** Number of Public Housing (PH) units transitioned from Annual Contributions Contract/ Declaration of Trust (ACC/DOT) through Voluntary & Required Conversion.
- **Data source:** Inventory Management System/ Public and Indian Housing Information Center (IMS/PIC)
- **Unit of measurement:** Number of PH units
- **Dimension:** Count
- **Calculation method:** Based on units transitioned in transactions that were approved within the time period as recorded in IMS/PIC
- **Frequency:** Quarterly
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** PHAs begin the process by applying with IMS/PIC. HUD processes the application in IMS/PIC and then, all transactions are recorded in IMS/PIC within seven (7) days of closing by Field Office. HUD also tracks assignments in Assignment Tracker. Timeliness and validity of data are dependent what PHAs submit. We ensure that data is of good quality during the reviews of applications.
- **Validation, verification, and improvement of measure:** The Special Applications Center (SAC) maintains a back-up spreadsheet with all transactions listed and verifies in the IMS/PIC system.

Section 18 (Demolition/Disposition)
- **Description:** Number of Public Housing (PH) units approved for transition from Annual Contributions Contract/ Declaration of Trust (ACC/DOT) through demolition or disposition under Section 18.
- **Data source:** Inventory Management System/Public and Indian Housing Information Center (IMS/PIC)
- **Unit of measurement:** Number of PH units
- **Dimension:** Count
- **Calculation method:** Based on units approved for demolition or disposition that were approved within the time period as recorded in IMS/PIC
- **Frequency:** Quarterly

- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** PHAs begin the process by applying in IMS/PIC. HUD processes the application and then approvals are recorded in IMS/PIC. Once units are removed from the ACC/DOT, IMS/PIC is further updated within seven (7) days of the removal action by the Special Applications Center (SAC). Staff ensure that data is valid during the reviews of applications.
- **Validation, verification, and improvement of measure:** The SAC maintains an Assignment Tracker as a back-up spreadsheet with all transactions listed and verifies data in the IMS/PIC system.

Public Housing occupancy rate
- **Description:** This measure will track the percentage of Public Housing units that are occupied so that HUD can ensure optimal occupancy rates for units remaining in the Public Housing program.
- **Data source:** Inventory Management System/Public and Indian Housing Information Center (IMS/PIC)
- **Unit of measurement:** Percentage of occupied PH units
- **Dimension:** Percentage
- **Calculation method:** Occupancy Rate is calculated using a data set of all units under an Annual Contribution Contract (ACC) and the following methodology: number of occupied PH rental units divided by number of habitable units (excluding those uninhabitable for reasons of modernization, other approved uses, approved for removal from inventory, etc.).
   - Occupied PH rental units are units occupied by assisted tenants, units occupied by non-assisted tenants, and special use units.
- **Frequency:** Annual; Fiscal year-end
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** PHAs self-report inventory and occupancy data in HUD's IMS/PIC using Form HUD 50058. Changes to unit use categories are approved by local HUD field offices. This data is used to calculate Capital Fund and Operating Fund grants. PHAs annually certify the accuracy of PH building and unit counts within IMS/PIC system.
- **Validation, verification, and improvement of measure:** The measurement validation processes applied to the "PH occupied rental units" metric also apply to the PH occupancy rate.

Housing Choice Voucher (HCV) budget utilization
- **Description:** This metric is measured using the calendar year-to-date Housing Assistance Payment (HAP) spending as a percentage of budget authority. Specific budget utilization, voucher utilization, and limited HAP reserve targets optimize the number of households that a PHA can serve given its budget and reserves.
- **Data source:** Voucher Management System (VMS) for HAP spending and HUDCAPS for Budget Authority
- **Unit of measurement:** Housing Assistance Payments (HAP) expended as a percentage of all budget authority.
- **Dimension:** Percentage
- **Calculation method:** Housing Assistance Payments (HAP) expended on a calendar year to date basis as a percent of budget authority on a calendar year to date basis. Moving to Work PHA budget authority is calculated as 100% expended.
- **Frequency:** Annual; Fiscal year-end
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** VMS data captures information related to leasing and HAP expenses for the HCV program. PHAs enter the information, which is therefore subject to human (data-entry) error. The Department, however, has instituted "hard edits" for entries in the system.
- **Validation, verification, and improvement of measure:** A "hard edit" is generated when a public housing agency enters data that are inconsistent with prior months' data input. If there is an issue that cannot be resolved successfully, the transaction is rejected, and the public housing agency is required to re-enter the correct information. This process provides additional assurance that the reported data are accurate. The HCV program uses three other means to ensure the accuracy of the data:
  1. HUD has developed a voucher utilization projection tool, which will enable the Department and public housing agencies to forecast voucher utilization and better manage the Voucher program.
  2. The HCV Financial Management Division performs data validation checks of the VMS data after the monthly database has been submitted to HUD Headquarters for management reporting purposes. Data that appear to be inconsistent with prior months' data are resolved with the public housing agency. Corrections are entered directly into the VMS to ensure that the data are accurate.
  3. The Public and Indian Housing Quality Assurance Division validates the data using onsite and remote VMS reviews. The division staff reviews source documents on site at the public housing agency to determine if the leasing, HAP expenses, and

Net Restricted Assets are consistent with data reported in VMS. The Real Estate Assessment Center (REAC) also compares VMS to the Financial Assessment System (FASS) data and rejects it if it is materially different.

Number of families served through HUD rental assistance
- **Description:** This will track the number of rental units occupied by HUD-assisted households.
- **Data source:** Multiple
- **Unit of measurement:** Number of occupied units per program
- **Dimension:** Count
- **Calculation method:** Total count of units supported by rental assistance programs serving households (each household occupies one unit)
- **Frequency:** Varied, see below
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** See sub-metrics below.
- **Validation, verification, and improvement of measure:** See sub-metrics below.

Public and Indian Housing

Tenant-Based Rental Assistance (TBRA)/ Housing Choice Vouchers (HCV)
- **Description:** This indicator tracks the number of utilized vouchers within PIH's HCV program, including tenant-based and project-based vouchers. This data is reported 70 days after the end of the quarter due to data validation processes.
- **Data source:** Voucher Management System (VMS)
- **Unit of measurement:** Number of utilized TBRA vouchers
- **Dimension:** Count
- **Calculation method:** The number of leased vouchers entered into PIH's Voucher Management System (VMS).
- **Frequency:** Quarterly
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** VMS captures information related to the leasing and Housing Assistance Payment (HAP) expenses for the HCV program. Public housing agencies (PHAs) enter the information, which is therefore subject to human (data-entry) error. The Department, however, has instituted "hard edits" for entries in the system.
- **Validation, verification, and improvement of measure:** The HCV program uses four other means to ensure the accuracy of the data:
  1. HUD has developed a voucher utilization projection tool, which will enable the Department and public housing agencies to forecast voucher utilization and better manage the Voucher program.
  2. The Housing Choice Voucher Financial Management Division performs data-validation checks of the VMS data after the monthly database has been submitted to HUD Headquarters for management reporting purposes.
  3. Data that appear to be inconsistent with prior months' data are resolved with the public housing agency.
  4. Corrections are entered directly into the VMS System to ensure that the data are accurate.

Public Housing
- **Description:** This indicator tracks the number of occupied rental units within PIH's Public Housing (PH) program.
- **Data source:** Inventory Management System/ Public and Indian Housing Information Center (IMS/PIC)
- **Unit of measurement:** PH rental units under an Annual Contribution Contract (ACC)
- **Dimension:** Count
- **Calculation method:** The number of occupied PH rental units includes only units that are identified as being under an ACC with HUD. PH units are assigned a unit category and status to note the nature of use within the program. The number of occupied PH rental units is the number of units with the following statuses: "occupied by assisted tenants", "occupied by non-assisted tenants", and "special use".
- **Frequency:** Quarterly
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** Public housing agencies (PHAs) self-report inventory and occupancy data in IMS/PIC using Form HUD 50058. Changes to unit use categories are approved by local HUD field offices. This data is used to calculate Capital Fund and Operating Fund grants. PHAs annually certify the accuracy of public housing building and unit counts within IMS/PIC system.

- **Validation, verification, and improvement of measure:** Through the annual Capital Fund certification process, errors in physical inventory information are identified in IMS/PIC. PHAs are required to correct errors before certifying the accuracy of the data for each development. When a PHA encounters errors that the PHA staff or HUD field office staff cannot correct, the PHA is required to inform the Real Estate Assessment Center Technical Assistance Center help desk and to enter the help desk ticket number and a comment in their certification. The IMS/PIC system unit status data benefited from a major evaluation in 2011. In addition to recent technical efforts to correct system-driven data anomalies, PIH is developing additional tools to further enhance the ability of PHAs and field offices to ensure that the PIC unit status data is accurate.

PIH Moderate Rehabilitation
- **Description:** The Moderate Rehabilitation program provides project-based rental assistance for low-income families. The program was repealed in 1991 and no new projects are authorized for development. Assistance is limited to properties previously rehabilitated pursuant to a housing assistance payments (HAP) contract between an owner and a public housing agency (PHA).
- **Data source:** Each year, PHAs provide data to the PIH field offices, including which Moderate Rehabilitation contracts will be renewed. The field offices calculate renewal rents and forward all data to the Financial Management Center, which confirms the data and calculates and requests total required renewal and replacement funding.
- **Unit of measurement:** Number of occupied units
- **Dimension:** Count
- **Calculation method:** Count
- **Frequency:** Annual
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** Timeliness and validity of data are dependent on multiple entities, including the Moderate Rehabilitation project owners, PIH field offices, and the Financial Management Center. Data is manually entered and validated.
- **Validation, verification, and improvement of measure:** The Financial Management Center reviews the data provided by the field offices and follows-up on incorrect or suspect data before submitting funding requests. A Financial Management Center division director or team leader must approve funding obligation and disbursement based on the number of occupied units. The Office of Housing Voucher Programs is currently working to develop a more streamlined and automated process to verify and improve the validations.

Office of Native American Programs (ONAP)
- **Description:** This indicator tracks the additional number of rental units built using funds administered by PIH's Office of Native American Programs (ONAP).
- **Data source:** ONAP Access databases
- **Unit of measurement:** Number of units
- **Dimension:** Count
- **Calculation method:** HUD aggregates the number of ONAP rental units based on each grantee's annual report of the number of affordable units built or acquired using Indian Housing Block Grant Funds.
- **Frequency:** Quarterly
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** As the data are self-reported, the data are subject to human (data-entry) error. However, ONAP has instituted "hard edits" for entries in the system.
- **Validation, verification, and improvement of measure:** The data are continually reviewed by HUD. When inaccurate data are discovered or suspected, program specialist's follow-up with grantees to resolve.

<u>Housing</u>

Section 8 Project-Based Rental Assistance (PBRA) units
- **Description:** This sub-metric tracks the number of families receiving rental assistance through the PBRA program.
- **Data source:** Tenant Rental Assistance Certificate System (TRACS) and Integrated Real Estate Management System (iREMS)
- **Unit of measurement:** Households receiving rental assistance through the PBRA program
- **Dimension:** Count
- **Calculation method:** Number of units receiving rental assistance through the PBRA program (there is one household per unit)
- **Frequency:** Quarterly

- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** TRACS has more than 6,000 business rules to ensure data validation. Data fields are required for property and project management purposes. These systems serve two primary customers: HUD staff and business partners called performance-based contract administrators.
- **Validation, verification, and improvement of measure:** The system business rules and operating procedures are defined in HUD Occupancy Handbook 4350.3, HUD's IT system security protocols; and financial requirements established in the Office of Management and Budget's Circular A-127. Often referenced as validation rules, these business rules check for data accuracy, meaningfulness, and security of access logic and controls. TRACS' primary data element is the HUD 50059 tenant certification, which originates from owner/agents, performance-based contract administrators, and traditional contract administrators. HUD's 50059 transmissions are processed via secure system access and a predetermined system script. Invalid data are identified by an error code and are returned to the sender with a descriptive message and procedures to correct the error. This electronic process approximates that of the paper Form HUD 50059. TRACS edits every field, according to the HUD rental assistance program policies.

Units subsidized by other Multifamily programs (202, 236 and 221(d)(3) BMIR)
- **Description:** Number of units covered by old Section 202 direct loans, insured under Section 236, receiving interest reduction payments (IRP), or insured under Section 223(d)(3) BMIR.
- **Data source:** Multifamily Portfolio Reporting Database (MPRD) and Integrated Real Estate Management System (iREMS)
- **Unit of measurement:** Number of units subsidized by the old Section 202, 236, IRP, and BMIR programs
- **Dimension:** Count
- **Calculation method:** Count
- **Frequency:** Quarterly
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** Although these units are assumed to be occupied, there is no assurance that this assumption is correct.
- **Validation, verification, and improvement of measure:** The number of units per project in the MPRD comes from iREMS and has been validated multiple times by project managers in field asset management against source documents.

Project Rental Assistance Contracts in the Section 202 Housing for the Elderly and Section 811 Housing for Persons with Disabilities programs (202/811 PRAC)
- **Description:** Number of households receiving rental assistance through a 202/811 PRAC.
- **Data source:** Tenant Rental Assistance Certificate System (TRACS) and Integrated Real Estate Management System (iREMS)
- **Unit of measurement:** Number of households receiving rental assistance through a 202/811 PRAC
- **Dimension:** Count
- **Calculation method:** Number of units receiving assistance through a 202/811 PRAC
- **Frequency:** Quarterly
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** TRACS has more than 6,000 business rules to ensure data validation. Data fields are required for property and project management purposes.
- **Validation, verification, and improvement of measure:** The system business rules and operating procedures are defined in HUD Occupancy Handbook 4350.3; HUD's IT system security protocols; and financial requirements established in the Office of Management and Budget's Circular A-127. Often referenced as validation rules, these business rules check for data accuracy, meaningfulness, and security of access logic and controls. TRACS' primary data element is the HUD 50059 tenant certification, which originates from owner/agents. HUD's 50059 transmissions are processed via secure system access and a predetermined system script. Invalid data are identified by an error code and are returned to the sender with a descriptive message and procedures to correct the error. This electronic process approximates that of the paper Form HUD 50059. TRACS edits every field, according to the HUD rental assistance program policies.

Low-Income Housing Tax Credit (LIHTC)/Insured Tax-Exempt (TE)
- **Description:** Number of units covered by commitments related to the use of new or existing low-income housing tax credits (LIHTC) tax-exempt bond financing as part of the FHA transaction. The LIHTC program is an indirect Federal subsidy used to finance the development of affordable rental housing for low-income households.
- **Data source:** Office of Housing Development Management Action Plan goals SharePoint site
- **Unit of measurement:** Number of units

- **Dimension:** Count
- **Calculation method:** Number of units covered by commitments related to the use of new or existing low-income housing tax credits (LIHTC) tax-exempt bond financing as part of the FHA transaction
- **Frequency:** Quarterly
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** Complete new LIHTC/TE units are posted on the SharePoint site based on data provided by the HUD Project Managers who have worked on these projects.
- **Validation, verification, and improvement of measure:** HUD field staff provide the data, which is reviewed and verified by Multifamily Hub and Headquarters staff.

Mortgage Insurance for Residential Care Facilities (Section 232)
- **Description:** Affordable assisted living facility units for Medicaid-eligible tenants preserved by Section 232 endorsements within a fiscal year.
- **Data source:** Development Application Processing System (DAP); SharePoint
- **Unit of measurement:** Number of Medicaid-eligible assisted living facility units preserved
- **Dimension:** Count
- **Calculation method:** To estimate the number of Medicaid-supported affordable assisted living facility residential units endorsed under Section 232 in a fiscal year, the total national Medicaid percentage is applied as a multiplier to the total volume of Section 232 assisted living facility units endorsed. The national Medicaid percentage table is a component of CMS' (Centers for Medicare & Medicaid Services) National Health Expenditure data set that calculates the national percentage of Medicaid spending within the United States each year.
- **Frequency:** Quarterly
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** The Medicaid percentage utilized for this calculation is based upon best-available independent analysis conducted on national data.
- **Validation, verification, and improvement of measure:** The Office of Residential Care Facilities monitors and verifies actual data quarterly.

Major Initiative: Promote Economic Opportunity

Percentage of work-able households exiting assisted housing with low subsidy needs
- **Description:** This measure tracks the proportion of work-able assisted households that exit tenant-based assisted housing with income-based subsidies at or near zero. Such low subsidies imply that household incomes have increased to the extent that market-based housing is within reach. This measure will serve as a proxy for positive exits as HUD secure the new data on all Section 8, Public Housing, and Multifamily programs. For this measure, "work-able household" is defined to mean a household containing at least one non-elderly, non-disabled adult member.
- **Data source:** HUD's Inventory Management System/Public and Indian Housing Information Center (IMS/PIC)
- **Unit of measurement:** Percentage of households exiting the Housing Choice Voucher (HCV) program in the calendar year with subsidy at or near zero
- **Dimension:** Percentage
- **Calculation method:** For the HCV program, compute the percentage of households leaving the program whose Housing Assistance Payment (HAP) is at or below 5 percent of gross rent.
- **Frequency:** Annual
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** Data on Housing Assistance Payments in the HCV program are very reliable. Data are not available to report this measure for public housing because the program does not use HAPs. Tenant Rental Assistance Certification System (TRACS) data were not ready for reporting at time of publication, so project-based Section 8 assistance is not included. Future reports should include this this after further analysis.
- **Validation, verification, and improvement of measure:** TRACS data need further assessment to determine the feasibility of estimating this metric for project-based programs.

Strategic Objective: Reduce Barriers to Affordable Housing

Reduction in Federal regulatory barriers
- **Description:** This measure will track the number of regulatory revisions implemented in the next 18 months.

- **Data source:** Program office submissions on completed regulatory reforms for the Council's report on eliminating regulatory barriers
- **Unit of measurement:** Individual counts
- **Dimension:** Count
- **Calculation method:** Sum
- **Frequency:** Annual
- **Direction:** Tracking Only
- **Data quality (limitations/advantages of the data):** Relies on program office identification of regulatory actions that constitute reforms improving housing supply, development, or affordability.
- **Validation, verification, and improvement of measure:** TBD

Incentives to Federal programs
- **Description:** This measure will track the addition of incentives to Federal programs to encourage jurisdictions to remove barriers.
- **Data source:** TBD
- **Unit of measurement:** TBD
- **Dimension:** Count
- **Calculation method:** Sum
- **Frequency:** TBD
- **Direction:** Tracking Only
- **Data quality (limitations/advantages of the data):** TBD
- **Validation, verification, and improvement of measure:** TBD

Strategic Objective: Develop EnVision Centers

Increase the number of physical EnVision Centers
- **Description:** This metric will track the number of EnVision Centers in operation
- **Data source:** HUD spreadsheet
- **Unit of measurement:** EnVision Center
- **Dimension:** Count
- **Calculation method:** Sum
- **Frequency:** Annually
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** Data quality depends on accuracy of site reports; no formal database exists for tracking this data.
- **Validation, verification, and improvement of measure:** Data is reviewed periodically by HUD staff.

Building Capacity with EnVision Centers
- **Description:** Number of meetings FPM staff held with designated EnVision Centers
- **Data source:** Microsoft Forms
- **Unit of measurement:** Meetings
- **Dimension:** Count
- **Calculation method:** Sum
- **Frequency:** Annually
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** Data quality depends on HUD's systems.
- **Validation, verification, and improvement of measure:** Periodic review by staff

Number of Partners
- **Description:** Number of partners located at the EnVision Centers
- **Data source:** Tracking by EnVision Center site staff; HUD Microsoft PowerApp tool
- **Unit of measurement:** Count
- **Dimension:** Count
- **Calculation method:** Sum

- **Frequency:** Annually
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** Data quality depends on the ability of the site staff to track staff time accurately; no formal database exists for tracking this data.
- **Validation, verification, and improvement of measure:** Working with EnVision Center staff

Number of People Served
- **Description:** Number of people served throughout all EnVision Centers
- **Data source*:* Tracking by EnVision Center site staff; HUD spreadsheet
- **Unit of measurement:** Count
- **Dimension*:* Count
- **Calculation method*:* Sum
- **Frequency:** Annually
- **Direction:** Increase
- **Data quality (limitations/advantages of the data*):* Data quality depends on EnVision Center site staff submissions; no formal database exists for tracking this data.
- **Validation, verification, and improvement of measure*:* working with EnVision Center staff

Strategic Objective: Support Effectiveness and Accountability in Long-Term Disaster Recovery

Decrease the percentage of "Slow Spenders" among CDBG-DR recipients for 2015, 2016, and 2017 funds
- **Description:** HUD will focus grantees on the goal of timely recovery by using TA and oversight actions to decrease the percentage of 2015, 2016, and 2017 CDBG-DR grantees expending funds too slowly to meet applicable fund expenditure requirements (aka "slow spenders"). The Slow Spender Report compares an average of the last three months' disbursements to the expected monthly pace. The expected monthly pace is the remaining balance of the grant divided by the months remaining until the targeted closeout date. If a grantee's three-month average of disbursements is less than 90% of the expected monthly pace, they are marked as a slow spender.
- **Data source:** usaspending.gov
- **Unit of measurement:** Count of awardees that: (1) submit HUD and awardee signed contract to fulfill the definition of obligation and (2) that expend beyond in the initial appropriation period of performance.
- **Dimension:** Percentage
- **Calculation method:** Numerator: Sum of all awardees of CDBG-DR grants in FY15, FY16, and FY17 that: submit HUD and awardee signed contract to fulfill the definition of obligation and (2) that expend beyond in the initial appropriation period of performance. Denominator: Sum of all CDBG-DR awardees in FY15, FY16, and FY17.
- **Frequency:** Annual
- **Direction:** decrease
- **Data quality (limitations/advantages of the data):** N/A
- **Validation, verification, and improvement of measure:** N/A

Number of homes, affected by disaster events in 2017 and later, that were rehabbed, reconstructed, or newly constructed using CDBG-DR funds
- **Description:** This measure will track the number of homes that were rehabilitated, reconstructed, or constructed using CDBG-DR funds, subject to enhanced program requirements.
- **Data source:** HUD DRGR System
- **Unit of measurement:** Home
- **Dimension:** Count
- **Calculation method:** Sum
- **Frequency:** Annual
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** N/A
- **Validation, verification, and improvement of measure:** N/A

Number of homes, affected by disaster events in 2017 and later, that are elevated
- **Description:** This measure will track the number of homes that were elevated using CDBG-DR funds.
- **Data source:** HUD DRGR System
- **Unit of measurement:** Home
- **Dimension:** Count
- **Calculation method:** Sum
- **Frequency:** Annual
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** N/A
- **Validation, verification, and improvement of measure:** N/A

Number of housing buyouts
- **Description:** This measure will track the number of housing buyouts (homes purchased resulting in hazard-vulnerable properties permanently restricted from development) financed with CDBG-DR funds provided to grantees recovering from disaster events in 2017 and later.
- **Data source:** HUD DRGR System
- **Unit of measurement:** Home
- **Dimension:** Count
- **Calculation method:** Sum
- **Frequency:** Annual
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** N/A
- **Validation, verification, and improvement of measure:** N/A

Strategic Objective: Promote Section 3

Percentage of Section 3 residents hired
- **Description:** Percentage of the total number of hires made under Section 3-funded projects that are Section 3 residents.
- **Data source:** Section 3 Performance Evaluation and Registry System (SPEARS)
- **Unit of measurement:** Percentage of specified individuals hired
- **Dimension:** Percentage
- **Calculation method:** Number of Section 3 residents hired divided by total of all new hires reported as having been made with Section 3-covered HUD funding during the reporting period.
- **Frequency:** Annual
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** Recipients of HUD funding enter the data for their programs, so the data quality is dependent on their understanding of Section 3 and the accuracy of the data entered.
- **Validation, verification, and improvement of measure:** Sample auditing will be done.

Percentage of construction contract funding awarded to Section 3 businesses
- **Description:** Percentage of Section 3-covered construction contract funding awarded to Section 3 businesses.
- **Data source:** Section 3 Performance Evaluation and Registration System (SPEARS)
- **Unit of measurement:** Percentage of specified dollars awarded
- **Dimension:** Percentage
- **Calculation method:** Dollars awarded to Section 3 businesses for Section 3-covered construction contracts divided by the total dollars awarded for such contracts
- **Frequency:** Annual
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** Recipients of HUD funding enter the data for their programs, so the data quality is dependent on their understanding of Section 3 and the accuracy of the data entered.
- **Validation, verification, and improvement of measure:** Sample auditing will be done.

Percentage of total dollar amount of non-construction contracts with Section 3-covered HUD funding that is awarded to Section 3 businesses

- **Description:** Percentage of total dollar amount of non-construction contracts with Section 3-covered HUD funding that is awarded to Section 3 businesses. Note: The regulatory target for Section 3 business non-construction contracts is 3 percent of the total dollar amount of non-construction contracts.
- **Data source:** Section 3 Performance Evaluation and Registration System SPEARS
- **Unit of measurement:** Percentage of specified dollars awarded
- **Dimension:** Percentage
- **Calculation method:** Dollars awarded to Section 3 businesses for Section 3-covered non-construction contracts divided by the total the dollars awarded for such contracts
- **Frequency:** Annual
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** Recipients of HUD funding enter the data for their programs, so the data quality is dependent on their understanding of Section 3 and the accuracy of the data entered.
- **Validation, verification, and improvement of measure:** Sample auditing will be done.

Number of self-certified Section 3 businesses in HUD's registry nationwide

- **Description:** Number of self-certified Section 3 businesses in HUD's registry nationwide
- **Data source:** Section 3 Business Registry System
- **Unit of measurement:** Number of businesses
- **Dimension:** Count
- **Calculation method:** Count number of businesses listed in the registry
- **Frequency:** Annual
- **Direction:** This is a new registry, so it can only increase as more businesses are added.
- **Data quality (limitations/advantages of the data):** Businesses are self-certifying, and all data is entered by registrant.
- **Validation, verification, and improvement of measure:** Data is reviewed periodically for obvious issues.

Strategic Objective: Bolster Growth in Opportunity Zones

Percentage of RAD conversions within Opportunity Zones

- **Description:** The percentage of public housing units converted to Project-Based Voucher (PBV) or Project-Based Rental Assistance (PBRA) programs, as part of the RAD Program, in Opportunity Zones
- **Data source**: Inventory Management System/ Public and Indian Housing Information Center (IMS/PIC)
- **Unit of measurement:** Unit
- **Dimension:** Percentage
- **Calculation method:** Percentage
- **Frequency:** Annual
- **Direction:** Flat
- **Data quality (limitations/advantages of the data):** All transactions are recorded in IMS/PIC within seven (7) days of closing, also in Assignment Tracker.
- **Validation, verification, and improvement of measure:** The Special Applications Center (SAC) maintains a back-up spreadsheet with all transactions listed and verifies in the IMS/PIC system.

Strategic Objective: Improve Financial Controls through Financial Transformation

Reduce the percentage of OIG open recommendations

- **Description:** HUD will seek to reduce the percentage of outstanding audit recommendations that are significantly overdue (i.e., findings for which corrective actions have been delayed by a year or more). The goals for FY18 and FY19 show a 20 percent reduction of significantly overdue action items each year.
- **Data source:** The Audit Resolution Corrective Action Tracking System (ARCATS)
- **Unit of measurement:** Significantly overdue OIG audit remediation at of the end of the fiscal year
- **Dimension:** Percentage
- **Calculation method:** For the given annual performance review period (a fiscal year), the numerator is the number of significantly overdue recommendations closed and the denominator is the beginning balance of significantly overdue recommendations.

- **Frequency:** Annual
- **Direction:** Decrease in number of significantly overdue or increase in percent closed (depends on perspective)
- **Data quality (limitations/advantages of the data):** Data are reliable and reviewed and maintained in ARCATS.
- **Validation, verification, and improvement of measure:** The number of significantly overdue recommendations is reported by ARCATS via an aging report. Source data are jointly maintained, managed, and confirmed by OIG and HUD management.

Conduct Quarterly Financial Management Council Meetings

- **Description:** Convene regular planning and communication sessions to coordinate Department-wide priorities.
- **Data source:** Microsoft Outlook
- **Unit of measurement:** Meeting
- **Dimension:** Count
- **Calculation method:** Sum
- **Frequency:** Quarterly
- **Direction:** Flat
- **Data quality (limitations/advantages of the data):** N/A
- **Validation, verification, and improvement of measure:** Meetings are verified by the attendance of invitees and meeting notes.

Decommission Legacy Financial Systems

- **Description:** Modernize, consolidate, and then decommission HUD's separate financial systems into one central structure.
- **Data source:** Program Accounting System (PAS), Line of Credit Control System (LOCCS), HUD Central Accounting and Program System (HUDCAPS), Financial Data Mart (FDM)
- **Unit of measurement:** Financial system
- **Dimension:** Count
- **Calculation method:** Sum
- **Frequency:** Annual
- **Direction:** Decrease
- **Data quality (limitations/advantages of the data):** An advantage is that the data is derived from a hard count of active systems that is verified by system managers. A limitation is that management changes may run the risk of common definitions noting the difference between a decommissioned but accessible system and a fully offline, inaccessible system.
- **Validation, verification, and improvement of measure:** Chief Technology Officer and OCIO verified reports, checklists, traceability, etc.

Timely Certification of Open Obligations review:

- **Description:** Percentage of program offices which certify open obligations by annual HUD OCFO deadlines.
- **Data source:** Treasury Administrative Resource Center (ARC), Program Accounting System (PAS), Line of Credit Control System (LOCCS), HUD Central Accounting and Program System (HUDCAPS), Financial Data Mart (FDM)
- **Unit of measurement:** Time
- **Dimension:** Percentage
- **Calculation method:** Numerator: Sum of appropriated programs in President's budget that exceed CFO's definition of "timely"; Denominator: Total Sum of appropriated programs in President's budget
- **Frequency:** Annual
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** Limitations are found in the availability of the systems which hold relevant data. HUD is upgrading and replacing legacy financial systems. Upgrades to HUD technology may interrupt system availability for users.
- **Validation, verification, and improvement of measure:** Program office data is verified by the OCFO in HUD's accounting systems.

Timely completion of necessary deobligations

- **Description:** Program offices complete necessary deobligations and updates to awards' periods of performance as identified in the open obligations review process. Program offices will provide the identified deobligations to OCPO annually by the end of April

- **Data source:** Treasury Administrative Resource Center (ARC), Program Accounting System (PAS), Line of Credit Control System (LOCCS), HUD Central Accounting and Program System (HUDCAPS), Financial Data Mart (FDM)
- **Unit of measurement:** Awards
- **Dimension:** Percentage
- **Calculation method:** Per FY: numerator: Sum of Awards that successfully completed necessary deobligations and updates to awards' period of performance; denominator: all awards identified in the open obligations review process and needing deobligations and updates to awards' periods of performance
- **Frequency:** Annual
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** Limitations are found in the availability of the systems which hold relevant data. HUD is upgrading and replacing legacy financial systems. Upgrades to HUD technology may interrupt system availability for users.
- **Validation, verification, and improvement of measure:** Program office data is verified by the OCFO in HUD's accounting systems.

Major Initiative: Modernize Grants Management

Number of grants reported under the FY17 Grants Oversight and New Efficiency (GONE) Act submission

- **Description:** The reduction in the number of grants reported on the FY17 GONE Act submission with periods of performance that have been expired for two or more years and have not been closed out.
- **Data source:** OCFO Financial Data Mart
- **Unit of measurement:** Number of awards
- **Dimension:** Count
- **Calculation method:** Number of awards open at the end of each fiscal year that have a period of performance end date that has been expired for two or more years, to which 2 CFR part 200 applies.
- **Frequency:** Annually
- **Direction:** Decrease
- **Data quality (limitations/advantages of the data):** An advantage is that data is derived from single-source reporting system used HUD-wide.
- **Validation, verification, and improvement of measure:** The single-source reporting system is verified by program offices.

Number of Programs Participating in Standards for Success Reporting

- **Description:** HUD will track the annual number of grant programs that opt to participate in Standards for Success Reporting
- **Data source:** GrantSolutions
- **Unit of measurement:** Number of programs
- **Dimension:** Count
- **Calculation method:** Count
- **Frequency:** Annually
- **Direction:** Increasing
- **Data quality (limitations/advantages of the data):** Simple count of a small number of programs.
- **Validation, verification, and improvement of measure:** Quick validation by Grants Management and Oversight Division staff will occur every reporting cycle.

Number of Competitions that Use Multiyear NOFOs

- **Description:** HUD will track how many Notices of Funding Opportunity distribute funding over multiple years.
- **Data source:** GrantSolutions Announcement Module (GS-AM)
- **Unit of measurement:** Notices of Funding Opportunity
- **Dimension:** Count
- **Calculation method:** Count of Notices of Funding Opportunity that use multiple years of funding.
- **Frequency:** Annually
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** N/A

- **Validation, verification, and improvement of measure:** Records are preserved in the GS-AM as well as on HUD's Funding Opportunities web page.

Number of Programs Using At Least One Outcome Metric for Scoring Purposes
- **Description:** Number of competitive grant programs that use at least one outcome metric scoring purposes
- **Data source:** GrantSolutions
- **Unit of measurement:** Number of programs
- **Dimension:** Count
- **Calculation method:** Count
- **Frequency:** Annually
- **Direction:** Increasing
- **Data quality (limitations/advantages of the data):** Not all programs use the full functionality of GrantSolutions Application Review Module, so the data may not capture every program that uses outcome metrics
- **Validation, verification, and improvement of measure:** Grants Management and Oversight Division staff will review data yearly for accuracy

Percentage of Metrics that are Outcome Metrics
- **Description:** Percentage of metrics used for the purposes of scoring applications for competitive grants that are outcome metrics
- **Data source:** GrantSolutions
- **Unit of measurement:** Percentage
- **Dimension:** Percentage
- **Calculation method:** Number of outcome metrics used for the purposes of scoring applications for competitive grants divided by the total number of metrics used for the purposes of scoring applications for competitive grant programs
- **Frequency:** Annually
- **Direction:** Increasing
- **Data quality (limitations/advantages of the data):** Not all programs use the full functionality of GrantSolutions Application Review Module, so the data may be skewed if the percentage for programs not using the full functionality of GrantSolutions is different from the percentage for those that do
- **Validation, verification, and improvement of measure:** Grants Management and Oversight Division staff will review data yearly for accuracy

Strategic Objective: Organize and Deliver Service More Effectively

Percentage of employees trained on the Alternate Dispute Resolution process
- **Description:** This measure will seek to increase the percentage of HUD employees, management, and non-management, who are educated on how to use the Alternate Dispute Resolution process to address equal employment issues.
- **Data source:** Office of Departmental Equal Employment Opportunity (ODEEO)
- **Unit of measurement:** HUD employees
- **Dimension:** Percentage
- **Calculation method:** Percentage of total HUD employees, management, and non-management, who have been trained on the HUD Alternate Dispute Resolution Process.
- **Frequency:** Quarterly
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** Data will be maintained by HUD Learn and ODEEO Staff. Data will be updated as training occurs.
- **Validation, verification, and improvement of measure:** Sign-in information by employees will be used to verify attendance in Training.

Net reduction in the number of skills gaps identified by employees and their managers
- **Description:** This measure will track competency assessment results to track how many skills gaps have been identified and fully addressed via Department-provided training.
- **Data source:** Departmental Skills Assessments (from web-based surveys, individual interviews, and focus groups)
- **Unit of measurement:** Skills gaps

- **Dimension:** Count
- **Calculation method:** Count and percentage of changes in skills gaps (reduced, increased, emerging)
- **Frequency:** As necessary
- **Direction:** Decrease
- **Data quality (limitations/advantages of the data):** For web-based surveys, minimal, due to the system of record and existing FY14, FY16, & FY18 trending data. For individual interviews and focus groups planned to begin in FY21, HUD Learn has identified HUD staff in HUD-specific and Federal Government-wide Mission Critical Occupations (MCOs) and High-Risk Non MCO Occupations to conduct additional analysis to supplement data captured from web-based surveys. Part of the identification of target HUD Employees to invite to participate in interviews and focus groups involves ensuring balanced representation of grade, years of service, HUD Program Office, and location (HQ or Field Office).
- **Validation, verification, and improvement of measure:** Minimal, as HUD's process has been reviewed by OPM and complies.

Average Time-to-Hire (OPM model)
- **Description:** This measure will track the average number of days it takes from validation of hiring need to tentative offer. HUD will analyze current and historical data for the Department to inform talent management strategies and decisions regarding the workforce.
- **Data source:** Career Connector and BFS SSP
- **Unit of measurement:** Days
- **Dimension:** Count
- **Calculation method:** Number of days within process
- **Frequency:** Annually
- **Direction:** Decrease
- **Data quality (limitations/advantages of the data):** Data is dependent upon Shared Service Provider (SSP) entry of some data elements. OCHCO will provide quality oversight review of SSP data.
- **Validation, verification, and improvement of measure:** OCHCO will provide quality oversight review of SSP data.

Average Time-to-Classify New Position Description
- **Description:** This measure will track the average number of days to classify new Position Descriptions (PDs). HUD will implement improvements in the PD Classification process, to reduce the time it takes for completion, which affects the timeliness of advertising and filling vacancies (T2H process).
- **Data source:** BFS Reporting
- **Unit of measurement:** Days
- **Dimension:** Count
- **Calculation method:** Number of days within process
- **Frequency:** Annually
- **Direction:** Decrease
- **Data quality (limitations/advantages of the data):** Reliant upon BFS information.
- **Validation, verification, and improvement of measure:** Conduct reviews over continuous periods of time, to ensure consistency, using a statistically valid sample size.

Average Time to Complete Job Analysis
- **Description:** This measure will track the average number of days it takes to complete the Job Analysis process. HUD will analyze current and historical data for the Department and identify process improvements to facilitate efficiencies that streamline this step.
- **Data source:** BFS Reporting
- **Unit of measurement:** Days
- **Dimension:** Count
- **Calculation method:** Number of days within process
- **Frequency:** Annually
- **Direction:** Decrease
- **Data quality (limitations/advantages of the data):** Reliant upon BFS information and action by program offices.
- **Validation, verification, and improvement of measure:** Conduct reviews over continuous periods of time, to ensure consistency, using a statistically valid sample size.

Average Time to Draft Announcements

- **Description:** This measure will track the average number of days it takes to draft and finalize Job Opportunity Announcements for posting. HUD will analyze current and historical data for the Department and identify process improvements to facilitate efficiencies that streamline this step.
- **Data source:** BFS Reporting
- **Unit of measurement:** Days
- **Dimension:** Count
- **Calculation method:** Number of days within process
- **Frequency:** Annually
- **Direction:** Decrease
- **Data quality (limitations/advantages of the data):** Reliant upon BFS information.
- **Validation, verification, and improvement of measure:** Conduct reviews over continuous periods of time, to ensure consistency, using a statistically valid sample size.

Number of Career Path Tools to Facilitate Reskilling Human Capital Resources
- **Description:** This measure will track the number of Career Path Guides created tools by which employees can develop an individual plan to map their career goals and requirements for progression.
- **Data source:** Career Resource Center (CRC) – hudlearn.net
- **Unit of measurement:** Count
- **Dimension:** Count
- **Calculation method:** Number of tools developed and uploaded for use in CRC
- **Frequency:** Annually
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** Developed based on Position Descriptions, Job Analysis Assessments, Competency Models, and Job Opportunity Announcements
- **Validation, verification, and improvement of measure:** Tools and documentation cited above are validated against OPM Qualification Standards, in consultation with Subject Matter Experts (SMEs) from the Program functional areas.

Number of pre-complaint resolutions occurring through traditional counseling, withdrawals, and the Alternate Dispute Resolution process
- **Description:** This measure will seek to increase the number of pre-complaint resolutions occurring through the Alternate Dispute Resolution process.
- **Data Source:** ODEEO hard-copy records (due to fact that ODEEO does not currently have an electronic case management system)
- **Unit of measurement:** Pre-complaint Filings
- **Dimension:** Count
- **Calculation Method:** Number of pre-complaint resolutions occurring through the traditional counseling, withdrawals, and the Alternative Dispute Resolution process
- **Frequency:** Twice per fiscal year
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** Data quality/integrity of the case management system is being tested and evaluated.
- **Validation, verification, and improvement of measure:** Management dashboards will be developed in the case management system to validate data.

Percentage of positive responses to Federal Employee Viewpoint Survey (FEVS) employee engagement and performance questions
Employee Engagement Index Score
- **Description:** This measure will track FEVS Employee Engagement Index responses and indicators relative to three categories, each with its own index ("Leaders Lead," "Supervisors," and "Intrinsic Work Experience").
- **Data source:** FEVS
- **Unit of measurement:** Percentage of positive responses
- **Dimension:** Percentage
- **Calculation method:** Percentage of positive responses
- **Frequency:** Annually
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** The FEVS is a survey administered by the Office of Personnel Management (OPM) using rigorous high, industry-tested standards. The data is of high quality.

- **Validation, verification, and improvement of measure:** OPM's methods and analysis seek to ensure survey estimates accurately represent the survey population. HUD continues to encourage high levels of participation to decrease the margin of error.

Combined Performance Indicator Score (New IQ)
- **Description:** This measure will track FEVS Combined Performance Score Index (New IQ) responses and indicators relative to the 5 Habits of Inclusion ("Concerning Fairness," "Being Supportive," "Open," "Cooperative," and "Empowering").
- **Data source:** FEVS
- **Unit of measurement:** Percentage of positive responses
- **Dimension:** Percentage
- **Calculation method:** Percentage of positive responses
- **Frequency:** Annually
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** The FEVS is a survey administered by OPM using rigorous high, industry-tested standards. The data is of high quality.
- **Validation, verification, and improvement of measure:** OPM's methods and analysis seek to ensure survey estimates accurately represent the survey population. HUD continues to encourage high levels of participation to decrease the margin of error.

Human Capital Performance Management Data
- **Description:** This measure will track the percentage of annual PACS and EPPES performance reviews and compensation actions (monetary or non-monetary) that are processed by the end of Q1, for the prior performance year.
- **Data source:** HUD's Human Capital Performance Management Tool for EPPES (nonsupervisory) and PACS (supervisory) employees.
- **Unit of measurement:** Performance reviews
- **Dimension:** Percentage
- **Calculation method:** Percentage of annual performance reviews completed timely and compensation awards successfully processed (monetary and non-monetary)
- **Frequency:** Annual
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** TBD
- **Validation, verification, and improvement of measure:** TBD

Number of performance-based actions
- **Description:** This measure will track the number of performance-based actions, including employee improvement plans, conducted by the Department.
- **Data source:** eCase
- **Unit of measurement:** Number of performance-based actions taken, which may include more than one for individual employees.
- **Dimension:** Count
- **Calculation method:** Count of performance-based actions taken, which may include more than one for individual employees.
- **Frequency:** Quarterly
- **Direction:** Increase (subject to ongoing Refresher Training for managers to improve Performance Management accountability)-)
- **Data quality (limitations/advantages of the data):** The eCase contract expired during the FY19 Federal Government Shutdown but was renegotiated. ELR will be able to extract quarterly data until February 24, 2020, when the current contract expires, and a new vendor will be awarded the contract to serve OCHCO.
- **Validation, verification, and improvement of measure:** Subject to the eCase or a new 2020 contract award, to facilitate quarterly tracking.

Deliver developmental training opportunities
- **Description:** This measure will track the developmental training opportunities made available to HUD employees, managers, and senior leaders, to support Succession Management and develop bench strength in the management/leadership pipeline.
- **Data source:** HUD's Learning Management System (LMS) – HUD LEARN's System of Record (SOR)
- **Unit of measurement:** Training opportunities
- **Dimension:** Count

- **Calculation method:** Count of courses offered by various mediums (e.g., instructor-led, web, etc.)
- **Frequency:** Quarterly
- **Direction:** Increase (subject to funding constraints)
- **Data quality (limitations/advantages of the data):** Minimal, due to the integrity of data in HUD's LMS / SOR.
- **Validation, verification, and improvement of measure:** Minimal, as HUD's SOR meets OPM's EHRI requirements.

Number of workshops, seminars, and trainings for senior leaders, managers, and supervisors
- **Description:** This measure will track the developmental training opportunities made available to HUD employees, managers, and senior leaders.
- **Data source:** HUD's LMS / SOR
- **Unit of measurement:** Training opportunities
- **Dimension:** Count
- **Calculation method:** Count of courses offered by various mediums (e.g., instructor-led, web, etc.)
- **Frequency:** Quarterly
- **Direction:** Increase (subject to funding constraints)
- **Data quality (limitations/advantages of the data):** Minimal, due to the integrity of data in HUD's LMS / SOR.
- **Validation, verification, and improvement of measure:** Minimal, as HUD's SOR meets OPM's EHRI requirements.

Number of HUD LEARN- sponsored employee development opportunities
- **Description:** This measure will track the developmental training opportunities made available to HUD employees, managers, and senior leaders.
- **Data source:** HUD's LMS / SOR
- **Unit of measurement:** Training opportunities
- **Dimension:** Count
- **Calculation method:** Count of courses offered by various mediums (e.g., instructor-led, web, etc.)
- **Frequency:** Quarterly
- **Direction:** Increase (subject to funding constraints)
- **Data quality (limitations/advantages of the data):** Minimal, due to the integrity of data in HUD's LMS / SOR.
- **Validation, verification, and improvement of measure:** Minimal, as HUD's SOR meets OPM's EHRI requirements.

Percentage of managers and supervisors who have received performance-related training (Refresher Training only: FY19 and beyond)
- **Description:** This measure will track the mandated training on "Managing Poor Performers" to all managers, by the end of FY18, and subsequent soft skills Refresher Training for managers and supervisors to improve Performance Management and accountability.
- **Data source:** HUD's LMS / SOR
- **Unit of measurement:** Training opportunities
- **Dimension:** Percentage
- **Calculation method:** Count of courses offered by various mediums (e.g., instructor-led, web, etc.)
- **Frequency:** Quarterly
- **Direction:** Increase (subject to funding constraints)
- **Data quality (limitations/advantages of the data):** Minimal, due to the integrity of data in HUD's LMS / SOR.
- **Validation, verification, and improvement of measure:** Minimal, as HUD's SOR meets OPM's EHRI requirements.

Major Initiative: Streamline Acquisitions Management

Acquisition Survey Satisfaction
- **Description:** This measure will track stakeholder satisfaction and feedback through stakeholder surveys.
- **Data source:** Integrated acquisitions team members
- **Unit of measurement:** This survey is provided after every contract is awarded if it meets the monetary threshold.
- **Dimension:** Percentage
- **Calculation method:** Average of satisfaction survey responses received each fiscal year.
- **Frequency:** Annual
- **Direction:** Flat
- **Data quality (limitations/advantages of the data):** N/A
- **Validation, verification, and improvement of measure:** N/A

On-time execution of all procurement actions - PALT
- **Description:** This measure will track the percentage of all procurement actions awarded within the established Procurement Acquisition Lead Times (PALT).
- **Data source:** Senior executives, PRISM
- **Unit of measurement:** PALT
- **Dimension:** Percentage
- **Calculation method:** Per FY: numerator is the sum of contract actions that exceed PALT; denominator is the sum of all contract actions.
- **Frequency:** Semi-annual
- **Direction:** Flat
- **Data quality (limitations/advantages of the data):** N/A
- **Validation, verification, and improvement of measure:** N/A

On-time submission of planned actionable acquisition requirements
- **Description:** This measure will track the percentage of actionable acquisition requirements submitted by customer offices by the Target Requisition Release Date (TRRD).
- **Data source:** PRISM
- **Unit of measurement:** Requirement
- **Dimension:** Percentage
- **Calculation method:** Average is calculated by taking the number that were completed on time divided by total population
- **Frequency:** Monthly
- **Direction:** Flat
- **Data quality (limitations/advantages of the data):** N/A
- **Validation, verification, and improvement of measure:** N/A

On-time award of planned actionable acquisition requirements
- **Description:** This measure will track the percentage of awards by the Target Award Date (TAD) of actionable acquisition requirements submitted by program offices by the TRRD.
- **Data source:** PRISM
- **Unit of measurement:** Awards
- **Dimension:** Percentage
- **Calculation method:** Sum in a FY
- **Frequency:** Monthly
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** N/A
- **Validation, verification, and improvement of measure:** N/A

Strategic Objective: Modernize Information Technology

Number of HUD mainframe systems decommissioned/migrated
- **Description:** The number of HUD source systems which are decommissioned or migrated; after necessary data is transferred and standardized into HUD's new cloud-based Enterprise Data Management structure.
- **Data source:** Unisys, IBM, Oracle, Sybase, Excel, etc.
- **Unit of measurement:** System
- **Dimension:** Count
- **Calculation method:** Sum
- **Frequency:** Annually
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** An advantage is that the data is derived from a hard count of active systems that is verified by system managers. A limitation is that management changes may run the risk of common definitions noting the difference between a decommissioned but accessible system and a fully offline, inaccessible system.
- **Validation, verification, and improvement of measure:** HUD IT systems are catalogued, verified, and validated by management within the Office of the Chief Information Office.

Average of Employee IT Customer Service Satisfaction Score
- **Description:** Conduct an annual survey of HUD staff on satisfaction with IT services provided.
- **Data Source:** Survey Monkey

- **Unit of measurement:** Satisfaction
- **Dimension:** Score using percentage
- **Calculation Method:** Average
- **Frequency:** Semi-annually
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** Currently the IT survey is administered ad-hoc to a random selection of recipients.
- **Validation, verification, and improvement of measure:** The survey is not inclusive of all service types offered by IT.

Number of Enterprise IT Solutions Implemented
- **Description:** The number of enterprise-wide IT solutions that are implemented to streamline manual or cumbersome processes.
- **Data Source:** The HUD Chief Technology Officer
- **Unit of measurement:** Number of enterprise-wide IT processes
- **Dimension:** Count
- **Calculation Method:** Count of enterprise-wide IT processes during each calendar year
- **Frequency:** Annually
- **Direction:** Increase
- **Data quality (limitations/advantages of the data):** A constraint is the limited ability to challenge the Chief Technology Officer's direct knowledge of solution implementation.
- **Validation, verification, and improvement of measure:** Solutions are catalogued, verified, and validated by HUD's Chief Information Officer and Principal Deputy Chief Information Officer.

Strategic Objective: Reform Regulations

Regulatory Reform Initiative

Number of EO 13771 regulatory actions
- **Description:** This measure will track the number of HUD's EO 13771 regulatory actions.
- **Data source:** Federal Register publications
- **Unit of measurement:** Regulatory action
- **Dimension:** Count
- **Calculation method:** Total number of 13771 regulatory actions
- **Frequency:** Annually
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** Publication is definitive proof of actions.
- **Validation, verification, and improvement of measure:** Regulatory actions are vetted and approved by leadership at HUD and OMB before being considered final.

EO 13771 deregulatory actions issued
- **Description:** This measure will track the number of HUD's EO 13771 deregulatory actions issued.
- **Data source:** Federal Register publications
- **Unit of measurement:** Regulatory action
- **Dimension:** Count
- **Calculation method:** Total number of 13771 deregulatory actions
- **Frequency:** Annually
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** Publication is definitive proof of actions.
- **Validation, verification, and improvement of measure:** Regulatory actions are vetted and approved by leadership at HUD and OMB before being considered final.
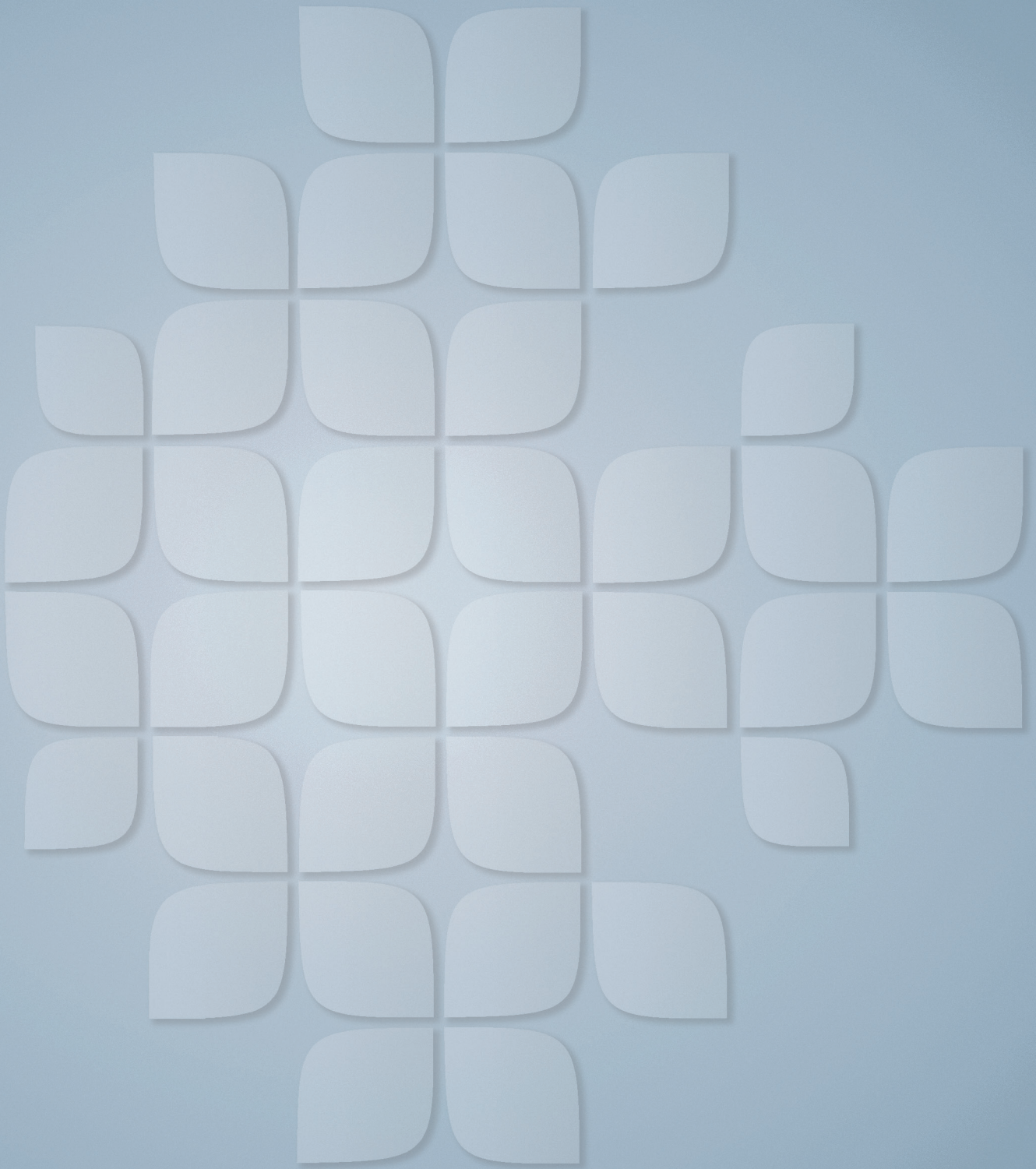
Number of evaluations to identify potential EO 13771 deregulatory actions that included opportunity for public input and/or peer review
- **Description:** This metric will measure the number of evaluations to identify potential EO 13771 deregulatory actions that included opportunity for public input and/or peer review.

- **Data source:** Federal Register publications
- **Unit of measurement:** Evaluations to identify potential EO 13771 deregulatory actions that included opportunity for public input and/or peer review
- **Dimension:** Count
- **Calculation method:** Total number of evaluations to identify 13771 deregulatory actions that included opportunity for public input and/or peer review
- **Frequency:** Annually
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** Publication is definitive proof of actions.
- **Validation, verification, and improvement of measure:** Regulatory actions are vetted and approved by leadership at HUD and OMB before being considered final.

Total incremental cost of all EO 13771 regulatory actions and EO 13771 deregulatory actions

- **Description:** HUD will measure the estimated cost savings realized by its deregulatory actions.
- **Data source:** Analyses conducted by HUD's office of Policy Development & Research
- **Unit of measurement:** Dollars
- **Dimension:** Cost estimates
- **Calculation method:** Total estimated savings that will be experienced by entities involved with the regulations being reduced by HUD
- **Frequency:** Annually
- **Direction:** N/A – Tracking Only
- **Data quality (limitations/advantages of the data):** Savings are projected estimates, not actual savings experienced by affected entities
- **Validation, verification, and improvement of measure:** The HUD Office of Policy Development and Research assesses the costs and benefits of HUD's regulations. These analyses are reviewed by OMB as part of its clearance of HUD regulatory actions.

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT