



OMB Control Number xxxx-xxxx
Expiration Date xx/xx/xxxx

U.S. Department of Housing and Urban Development Capital Investment Record-level Report (CIRL)

General Reporting Instructions and Specifications for Discretionary Grants

2016

This reporting requirement is approved under the Paperwork Reduction Act of 1995, OMB Control No. xxx-xxxx, expiring xx/xx/xxxx. Persons are not required to respond to this collection of information unless it displays a currently valid OMB number. Public reporting burden for this collection is estimated to average xxx,xxx hours per year. This estimate includes the burden to collect data that the respondent would not otherwise collect as part of its usual and customary practice or as part of its EEO requirements.

The respondent's obligation to reply to this information request is codified in "Administrative Provisions" located at 42 USC 3535(r). The reasons for the collection and reporting of information are general program oversight, evaluation, and performance assessment. Send comments regarding this burden estimate or any other aspect of this collection, including suggestions for reducing this burden, to the U. S. Department of Housing and Urban Development, Office of Strategic Planning and Management, Grants Management and Oversight, 451 7th Street, S.W., Room 3156, Washington, D.C. 20410 (Paperwork Reduction Project xxx-xxxx).



I. GENERAL INSTRUCTIONS

Using the instructions included in this document, respondent grantees are required to maintain record-level reports containing information for all capital investments or expenditures using competitively-awarded grant funds from the U.S. Department of Housing and Urban Development (HUD). Capital investments or expenditures are those costs relating to the purchase of new fixed assets or the construction or improvement of a building unit. Please note these competitively-awarded grants are also referred to as discretionary grants in this document.

The primary purposes of the Capital Investment Record-level report (CIRL) are to:

1. Establish a standardized set of data elements, definitions, and specifications that can be used to describe the capital investments made by HUD discretionary grant-funded programs;
2. Improve the comparability of the resulting information through the use of common definitions;
3. Facilitate the collection and reporting of accurate, consistent, and complete information on capital investments in order to support the overall management, evaluation, and continuous improvement of the programs at the grantee, sub-grantee, and Federal levels; and
4. Share program performance results with taxpayers, Congress, and other stakeholders with an interest in HUD discretionary grant programs in order to demonstrate the accountability of Federal stewardship of taxpayer resources.

Additionally, standardized data collection and reporting helps HUD justify programs and their costs when developing budgets sent to Congress for consideration. The public, Congress, and Office of Management and Budget (OMB) are increasingly taking a more "results-oriented" look at government programs, and the cost-effectiveness of program expenditures is increasingly being called into question. In an era of shrinking Federal budgets, demonstration of good performance and sustainable public impacts with positive results help justify programs and their costs.

In developing the Capital Investment Record-level report (CIRL), every effort has been made to establish common data element definitions and formats while minimizing the collection burden to respondent grantees. The CIRL



provides each discretionary grantee with the opportunity to better inform the Administration, Congress, and other stakeholders about the numbers of individuals to benefit directly from the grant, the types of capital investments, and the outcomes. The record-level report establishes a core set of data that must be collected and maintained by grantees.

II. COVERED PROGRAMS

Respondent grantees administering competitively awarded HUD grants that receive funding for fixed or known periods to carry out specific capital investment projects that directly serve or benefit grant-eligible individuals must utilize the CIRL specifications and general reporting instructions. These competitively awarded grant funds include construction-only grants as well as grants that combine capital investments with other activities such as fellowships, scholarships, research grants, training grants, traineeships, experimental and demonstration grants, evaluation grants, planning grants, technical assistance grants, capacity building grants, and survey grants.

Competitively-awarded grants made through the following program authorities are covered under the CIRL reporting requirements:

- Titles I [42 U.S.C. 1437 et seq.] and II 1 of the United States Housing Act of 1937;
- Section 202 of the Housing Act of 1959 [12 U.S.C. 1701q];
- Section 106 of the Housing and Urban Development Act of 1968 [12 U.S.C. 1701x];
- The Fair Housing Act [42 U.S.C. 3601 et seq.];
- Title I [42 U.S.C. 5301 et seq.] and section 810 1 of the Housing and Community Development Act of 1974;
- Section 201 of the Housing and Community Development Amendments of 1978 [12 U.S.C. 1715z-1a];
- The Congregate Housing Services Act of 1978 [42 U.S.C. 8001 et seq.];
- Section 222 of the Housing and Urban-Rural Recovery Act of 1983;
- Section 3616a of 42 USC;
- Title IV of the McKinney-Vento Homeless Assistance Act [42 U.S.C. 11360 et seq.]; and
- Titles III and IV and section 811 [42 U.S.C. 8013] of the Cranston-Gonzalez National Affordable Housing Act.



Programs corresponding to these program authorities include:

- Self-Help Homeownership Program (SHOP);
- Housing Opportunities for Persons with AIDS (HOPWA); and
- Indian Community Development Block Grant Program.

Each respondent grantee should review the HUD Notice of Award to familiarize himself or herself with the specific programmatic reporting requirements outlined in the Terms and Conditions that apply to the grant program. The Terms and Conditions will provide more detailed information on the applicable required data elements to be collected and reported as part of the grant award.

Capital Investment Projects Included in the CIRL

It is important to underscore that a capital investment data record must be created and submitted at the grant-level for each grant and at the project-level for each eligible project that is financially assisted by one or more competitively-awarded HUD discretionary grants.

A “project” is defined as a site or sites together with any building unit(s) (including manufactured housing unit) or buildings located on the site(s) under common ownership, management and financing, to be assisted with grant funds as a single undertaking. The “project” includes all of the activities associated with the site and building. A “building unit” is a measure of housing equivalent to the living quarters of one household.

In the event there are multiple projects funded under the grant, please create a Capital Investment Record-level report (CIRL) for each project.

Exclusions from the CIRL

HUD-funded research or technical studies grants, planning grants, technical assistance, capacity building, and other discretionary grants not funding capital investments are excluded from the CIRL reporting requirement. Capital investments or expenditures are those costs relating to the purchase of new fixed assets or the construction or improvement of a building unit.

Continuum of Care discretionary grants authorized under the Mc Kinney-Vento Homeless Assistance Act and Choice Neighborhood discretionary grants subject to section 24 of the United States Housing Act of 1937 are also excluded from the CIRL requirements.



III. REPORT LAYOUT SPECIFICATIONS

The CIRL follow either a comma separated value (CSV) format, an extensible markup language (XML) format, or an Excel format. See Appendix A for the Capital Investment Record-level report (CIRL) for details regarding data elements, definitions, coding values, and data element field lengths included in an individual CIRL report.

For each CIRL data element there is a name, description, response option (coding value), and listing of applicable HUD programs.

Data collection and reporting requirements for the CIRL on the project-level increase according to the type of project. In other words, the data included in the CIRL only expands as the scope of the project expands during the course of the grant lifecycle. Coding values and the applicability guide contained within Appendix A (Chart C) are essential components that place each data element in its proper context.

IV. DUE DATE

Electronic Capital Investment Record-level report (CIRL) files are due to HUD no later than 30 days after the end of each report period. The final CIRL submission is due no later than 90 days after the end of the grant's period of performance. Data files will be sent to HUD using a hierarchical database design that uses a one-to-many relationship for data elements. The hierarchical database model uses a tree structure that links a number of project data elements to one grant or primary record.

The table below shows the expected due dates for each reporting period.

Report Period	Due Dates
October - September	October 30
Final Submission	Within 90 Days of the End of the Grant

Should the date of the report fall on a Saturday or Sunday, the CIRL files are due the Friday before the due date.



V. SUBMISSION PROCEDURES

Information contained in the CIRL files must be submitted or inputted directly to an online portal via technical instructions available through the appropriate Regional Office or the HUD website.

Grants and projects must be tracked every twelve months for a period of two years after inception of services or until the grant ends, whichever is first. Updated reports must be provided in each subsequent submission until all relevant outcome information is completed or the end of the grant has been achieved.

A CIRL must be provided annually. The final submission is due within 90 days of the end of the grant.



APPENDIX A
CAPITAL INVESTMENT RECORD-LEVEL REPORT SPECIFICATIONS

Capital Investment Record-level Information

Key for Applicable HUD Programs: Community Development Block Grant Program for Indian Tribes and Alaska Native Villages (**ICDBG**), Housing Opportunities for Persons with AIDS (**HOPWA**), Self-Help Homeownership Opportunity Program (**SHOP**).

Indicator Number ¹	Data Element Name	Data Element Description	Response Options	Applicable HUD Programs
N/A	Grant Number	The unique number identifying the grant, as documented in the grant award document.	The unique number identifying the grant, as documented in the grant award document.	HOPWA, SHOP, ICDBG
N/A	Grantee DUNS Number	The unique, non-indicative identifier issued by D&B and used by sam.gov to verify business entity.	The 9-digit DUNS number assigned to the grantee's business. Omit dashes (-).	HOPWA, SHOP, ICDBG
N/A	Grant Appropriation Fiscal Year	The year of appropriation for the Federal funds awarded.	The year of appropriation in YYYY format.	HOPWA, SHOP, ICDBG
N/A	Catalog of Federal Domestic Assistance Number	The 5-digit CFDA number for the grant program.	The CFDA number in a XXXXX format (no period).	HOPWA, SHOP, ICDBG
N/A	Grant Implementation City	The city where the grantee is located.	The city where the grantee is located.	HOPWA, SHOP, ICDBG
N/A	Grant Implementation State	The state where the grantee is located.	The two-letter state or territory abbreviation where the grantee is located.	HOPWA, SHOP, ICDBG
N/A	Grant Implementation Zip Code	The zip code where the grantee is located.	The five-digit zip code where the grantee is located.	HOPWA, SHOP, ICDBG
N/A	Reporting Period Beginning Date	The begin date for the reporting period.	The beginning date for the reporting period in a YYYYMMDD format.	HOPWA, SHOP, ICDBG
N/A	Reporting Period End Date	The end date for the reporting period.	The ending date for the reporting period in YYYYMMDD format.	HOPWA, SHOP, ICDBG
18,19	Grant Activity Category Code	The category of primary activities under the grant. Multiple selections can be made.	1 = Housing 2 = Public Facilities 3 = Infrastructure, not including housing infrastructure. 4 = Economic Development	HOPWA, SHOP, ICDBG
N/A	Public Facility Sub-Category Code	The sub-category of public facility project activities under the grant. Multiple selections can be made.	1 = Multipurpose Community Center 2 = Health Clinic/Wellness Center 3 = Child Care/Head Start Facility 4 = Tribal Park/Ceremonial Grounds 5 = Special Needs Housing 6 = Other	HOPWA, SHOP, ICDBG
N/A	Infrastructure Sub-Category Code	The sub-category of infrastructure project activities under the grant. Multiple selections can be made.	1 = Sewer 2 = Utility 3 = Water 4 = Treatment Facility 5 = Roads 6 = Other	ICDBG

¹ N/A includes demographic and other descriptive attributes of interest.

Indicator Number ¹	Data Element Name	Data Element Description	Response Options	Applicable HUD Programs
18,19	Housing Sub-Category Code	The sub-category of housing project activities under the grant. Multiple selections can be made.	1 = New Construction 2 = Rehabilitation 3 = Assisted Living Facility 4 = Service Enriched Housing 5 = Other Elder Housing 6 = Other	HOPWA, SHOP, ICDBG
N/A	Land Area Acquired Via Purchase	The number of acres of land acquired to date under the grant, rounded to the nearest whole number.	The number of acres of land acquired to date under the grant, rounded to the nearest whole number.	HOPWA, SHOP, ICDBG
N/A	Land Purchase Price	The dollar amount of grant funds expended for the purchase price of the land and buildings acquired as of the last day in the reporting period.	Enter grant funds expended in whole (rounded U.S. dollars).	HOPWA, SHOP, ICDBG
N/A	Rehabilitation Costs paid by grant	The dollar amount of grant funds expended for rehabilitation as of the last day in the reporting period.	Enter grant funds expended in whole (rounded U.S. dollars).	HOPWA, SHOP, ICDBG
N/A	Construction Costs paid by grant	The dollar amount of grant funds expended for construction as of the last day in the reporting period.	Enter grant funds expended in whole (rounded U.S. dollars).	HOPWA, SHOP, ICDBG
N/A	Land Area Acquired through Leveraged Contribution	The number of acres of land acquired to date under leveraged or non-program funds.	Enter whole (rounded) under of acres acquired.	HOPWA, SHOP, ICDBG
N/A	Value of Land Area Acquired through Leveraged Contributions	The dollar amount of leveraged or non-grant funds expended for the purchase price of the land and buildings acquired as of the last day in the reporting period.	Enter dollar amount of leveraged or non-grant funds expended in whole (rounded) U.S. dollars.	HOPWA, SHOP, ICDBG
N/A	Leveraged Rehabilitation Contribution	The dollar amount of leveraged or non-grant funds expended for rehabilitation as of the last day in the reporting period.	Enter dollar amount of leveraged or non-grant funds expended in whole (rounded) U.S. dollars.	HOPWA, SHOP, ICDBG
N/A	Leveraged Construction Contribution	The dollar amount of leveraged or non-grant funds expended for construction as of the last day in the reporting period.	Enter dollar amount of leveraged or non-grant funds expended in whole (rounded) U.S. dollars.	HOPWA, SHOP, ICDBG
N/A	Jobs created	The number of jobs created as a result of the project in the previous calendar year.	The number of FTES created in XXX.XX format.	SHOP, ICDBG
	Jobs is defined as total number of hours worked by employees directly funded by the grant in the previous year divided by 2080 hours.			

Indicator Number ¹	Data Element Name	Data Element Description	Response Options	Applicable HUD Programs
N/A	Section 3 jobs created	The number of jobs created for Section 3 residents as a result of the project in the previous calendar year.	Number of Jobs given in the previous calendar year to	SHOP, ICDBG
	Jobs are calculated as total number of hours worked by employees directly funded by the grant in the previous year divided by 2080 hours. Section 3 residents are low and very-low income persons who live in the metropolitan area or non-metropolitan county where a HUD-assisted project for housing or community development is located.			
N/A	Businesses Assisted	The names of all businesses assisted as a result of the project.	List legal names of all businesses assisted.	SHOP, ICDBG
N/A	Section 3 Businesses Assisted	The names of Section 3 businesses assisted as a result of the project.	List legal names of Section 3 businesses assisted.	SHOP, ICDBG
N/A	Construction Start Date	The date construction is started.	The date construction started in YYYYMMDD format.	SHOP, ICDBG
N/A	Construction Completion Date	The date construction is completed.	The date construction is completed in YYYYMMDD format.	SHOP, ICDBG
N/A	Grant Assisted Living Facility Conversion Cost Amount	The amount of grant funds expended for conversion to Assisted Living Facility Units at the end of the reporting period.	Enter grant funds expended in whole (rounded U.S. dollars).	SHOP, ICDBG
19	Grant Service Enriched Housing Conversion Cost Amount	The amount of grant funds expended for conversion to Service Enriched Housing at the end of the reporting period, rounded to the nearest whole dollar.	Enter grant funds expended in whole (rounded U.S. dollars).	SHOP, ICDBG
19	Grant Other Elder Housing Cost Amount	The amount of grant funds expended for Other Elder Housing at the end of the reporting period, rounded to the nearest whole dollar.	Enter grant funds expended in whole (rounded U.S. dollars).	SHOP, ICDBG
N/A	Project Identifier	Unique record identification code for the project assigned by the grantee.	Enter unique record identification for the project.	HOPWA, SHOP, ICDBG
	A project is defined as a site or sites together with any building unit(s) (including manufactured housing unit) or buildings located on the site(s) under common ownership, management and financing, to be assisted with grant funds as a single undertaking. The "project" includes all of the activities associated with the site and building. A "building unit" is a measure of housing equivalent to the living quarters of one household. Each project record layout is tied to its respective grant with the "Project Identifier" data element. Each project must be associated with the grant number funding the project.			
N/A	Project Address Line 1	The address where the project is located.	Enter physical address.	HOPWA, SHOP, ICDBG
N/A	Project Address Line 2	Continuation of the address from Project Address Line 1.	Continuation of physical address from Project Address Line 1.	HOPWA, SHOP, ICDBG
N/A	Project City	The city where the project is located.	Enter city name	HOPWA, SHOP, ICDBG

Indicator Number ¹	Data Element Name	Data Element Description	Response Options	Applicable HUD Programs
N/A	Project State	The state where the project is located.	Enter two-letter state or territory abbreviation.	HOPWA, SHOP, ICDBG
N/A	Project Zip Code	The zip code where the project is located.	The five-digit zip code.	HOPWA, SHOP, ICDBG
N/A	Project Activity Category Code	The category of primary activities under the grant. Only one selection can be made.	1 = Housing 2 = Public Facilities	HOPWA, SHOP, ICDBG
18,19	Planned Unit Count	The total number of units planned for construction or rehabilitation by the completion of the grant.	Enter number of units planned in XXX format.	HOPWA, SHOP, ICDBG
18,19	Completed Unit Count	The cumulative number of units completed since the inception of the grant, through the end of the reporting period.	Enter number of units completed in XXX format.	HOPWA, SHOP, ICDBG
N/A	Project Construction Type	The type of construction for the project.	1= New Construction 2= Moderate Reconstruction and Rehabilitation 3=Substantial Reconstruction and Rehabilitation	HOPWA, SHOP, ICDBG
N/A	Public Facility Sub-Category Code	The sub-category of public facility project activities under the grant. Multiple selections can be made.	1 = Multipurpose Community Center 2 = Health Clinic/Wellness Center 3 = Child Care/Head Start Facility 4 = Tribal Park/Ceremonial Grounds 5 = Special Needs Housing 6 = Other	HOPWA, SHOP, ICDBG
18,19	Housing Sub-Category Code	The sub-category of housing project activities under the grant. Multiple selections can be made.	1 = Assisted Living Facility 2 = Service Enriched Housing 3 = Other Elder Housing 4 = Rental Housing 5 = Homeownership Housing	HOPWA, SHOP, ICDBG
N/A	Market-Rate Unit Count	The cumulative number of units that have no income restrictions	Enter number of units without income restrictions in XXX format.	HOPWA, SHOP, ICDBG
18,19	Extremely Low Income Unit Count	The cumulative number of units with rents affordable to extremely low-income families (income at or below 30% of Area Median Income).	Enter number of units in XXX format.	HOPWA, SHOP, ICDBG
18,19	Very Low Income Unit Count	The cumulative number of units with rents affordable to very low-income families (income at or below 50% of Area Median Income).	Enter number of units in XXX format.	HOPWA, SHOP, ICDBG

Indicator Number ¹	Data Element Name	Data Element Description	Response Options	Applicable HUD Programs
18,19	Low Income Unit Count	The cumulative number of units with rents affordable to low-income families (income at or below 80% of Area Median Income).	Enter number of units in numeric format.	HOPWA, SHOP, ICDBG
18,19	Moderate Income Unit Count	The cumulative number of units with rents affordable to moderate income families (income at or below 100% of Area Median Income).	Enter number of units in numeric format.	HOPWA, SHOP, ICDBG
N/A	Affordability Term Use Restriction Length	Number of years affordability-related restrictions are in place.	Number of years in whole number format.	HOPWA, SHOP, ICDBG
N/A	Studio Unit Count	The cumulative number of studio housing units completed under this grant by the end of the reporting period.	Enter number of units in numeric format.	HOPWA, SHOP, ICDBG
N/A	One Bedroom Unit Count	The cumulative number of one-bedroom housing units completed under this grant by the end of the reporting period.	Enter number of units in numeric format.	HOPWA, SHOP, ICDBG
N/A	Two Bedroom Unit Count	The cumulative number of two-bedroom housing units completed under this grant by the end of the reporting period.	Enter number of units in numeric format.	HOPWA, SHOP, ICDBG
N/A	Three Bedroom Unit Count	The cumulative number of three-bedroom housing units completed under this grant by the end of the reporting period.	Enter number of units in numeric format.	HOPWA, SHOP, ICDBG
N/A	Four Bedroom Unit Count	The cumulative number of four-bedroom housing units completed under this grant by the end of the reporting period.	Enter number of units in numeric format.	HOPWA, SHOP, ICDBG
N/A	Five or More Bedroom Unit Count	The cumulative number of five or more-bedroom housing units completed under this grant by the end of the reporting period.	Enter number of units in numeric format.	HOPWA, SHOP, ICDBG
N/A	ENERGY STAR Certified Project Code	The building or units qualify as ENERGY STAR by a Home Energy Rating System (HERS) rater.	1 = Yes. 2 = No. 9 = Not Applicable.	HOPWA, SHOP, ICDBG
N/A	Energy-Efficient Project Code	ENERGY STAR features, appliances, and products have been installed, but a certified Energy Star rating is not established.	1 = Yes. 2 = No. 9 = Not Applicable.	HOPWA, SHOP, ICDBG

Indicator Number ¹	Data Element Name	Data Element Description	Response Options	Applicable HUD Programs
N/A	Green-Certified Project Code	The project received a national, state, or local Green program designation or certification. This includes LEED certification.	1 = Yes. 2 = No. 9 = Not Applicable.	HOPWA, SHOP, ICDBG
N/A	WaterSense Project Code	WaterSense labeled products and fixtures have been installed in the units.	1 = Yes. 2 = No. 9 = Not Applicable.	HOPWA, SHOP,
N/A	Healthy Homes Project Code	Healthy Home design features have been incorporated in the units.	1 = Yes. 2 = No. 9 = Not Applicable.	HOPWA, SHOP,
A healthy home is 1) dry and clean, 2) well-ventilated, 3) combustion product free, 4) pest free, 5) toxic chemical free, and 6) comfortable. http://portal.hud.gov/hudportal/HUD?src=/program_offices/healthy_homes/HHPGM				
N/A	Universal Design Project Code	Universal Design principles have been incorporated in the units.	1 = Yes. 2 = No. 9 = Not Applicable.	HOPWA, SHOP,
These principles are meant to produce units that are accessible to older people, people with disabilities and people without disabilities and include: 1) Equitable use, 2) Flexibility in use, 3) Simple and intuitive, 4) Perceptible information, 5) Tolerance for error, 6) Low physical effort, 7) Size and space for approach and use. http://www.huduser.org/portal/publications/destech/resid.html				
N/A	Accessible Unit Count	The number of units that are accessible to persons with disabilities, excluding visitable units.	Enter number of units in numeric format.	HOPWA, SHOP, ICDBG
N/A	Visitable Unit Count	The number of units that are visitable for persons with disabilities, excluding accessible units.	Enter number of units in numeric format.	HOPWA, SHOP, ICDBG
Visitability design incorporates the following in all construction or alterations, in addition to the applicable requirements of Section 504 and the Fair Housing Act, whenever practical and possible for as many units as possible within a development: 1) Provide a 32" clear opening in all bathroom and interior doorways, 2) Provide at least one accessible means of egress/ingress for each unit.				
N/A	Environmental Review Date	The date the environmental review is completed.	Enter date in YYYYMMDD format.	SHOP, ICDBG
N/A	Average Appraised Value Amount	The appraised value of a conveyed unit during the reporting period. If project has multiple units, use the average value of all units.	Enter whole (rounded) dollar amount in U.S. Dollars.	SHOP
N/A	Average Sales Price Amount	The sales price of a conveyed unit during the reporting period. If project has multiple units, use the average price of all units.	Enter whole (rounded) dollar amount in U.S. Dollars.	SHOP
N/A	Conveyed Date	The date the unit is conveyed. If there are multiple units in the project, use latest date.	Enter date in YYYYMMDD format.	SHOP
N/A	Project Household Count	The number of households that have occupied all project units since the last reporting period.	Enter whole (rounded) number in numeric format.	HOPWA

Public reporting burden for this collection of information is estimated to average 15 minutes per respondent, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number. This information is collected in connection with HUD's respective discretionary grant program. The information is considered sensitive and is protected by the Privacy Act which requires the records to be maintained with appropriate administrative, technical and physical safeguards to ensure their security and confidentiality.