



Emergency Solutions Grants Program CAPER Reporting

- 90 minutes total, including Q&A portion
- Participants are muted by default
- To ask a question at any time, use the Chat Box feature to the left of the presentation slides
- We will answer as many questions as possible during the Q&A portion of the webinar
- After the webinar, please submit any outstanding questions to HUD AAQ, select Sage in step 2.
- Recording and slide presentation will be posted on the HUD Exchange

Housekeeping

Presenters

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Assistance from:

PCL – support with Q/A

TDA – technical support and broadcasting

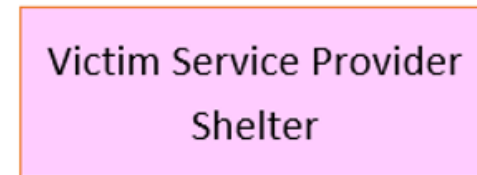
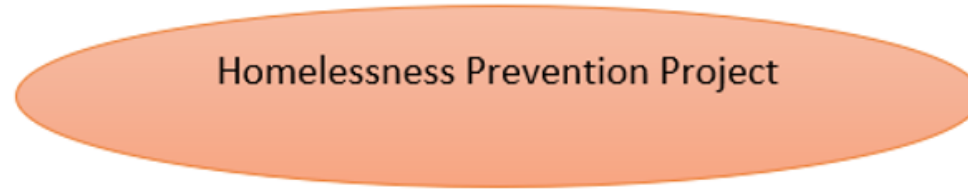
Fundamentals of New ESG Reporting in Sage

- Sage has replaced the use of the eCon Planning Suite in IDIS for CR-65 since 2018.
- Beginning with reports for 2021 Sage will also replace CR-70 and CR-75.
- Continue completing screen CR-60 in the eCon Planning Suite
- In the ESG CAPER report recipients are only reporting on regular ESG funding.
 - No ESG-CV expenditures should be included in the report.
 - No ESG-CV projects should be included in the report UNLESS they were funded by both regular ESG and ESG-CV



Understanding Projects

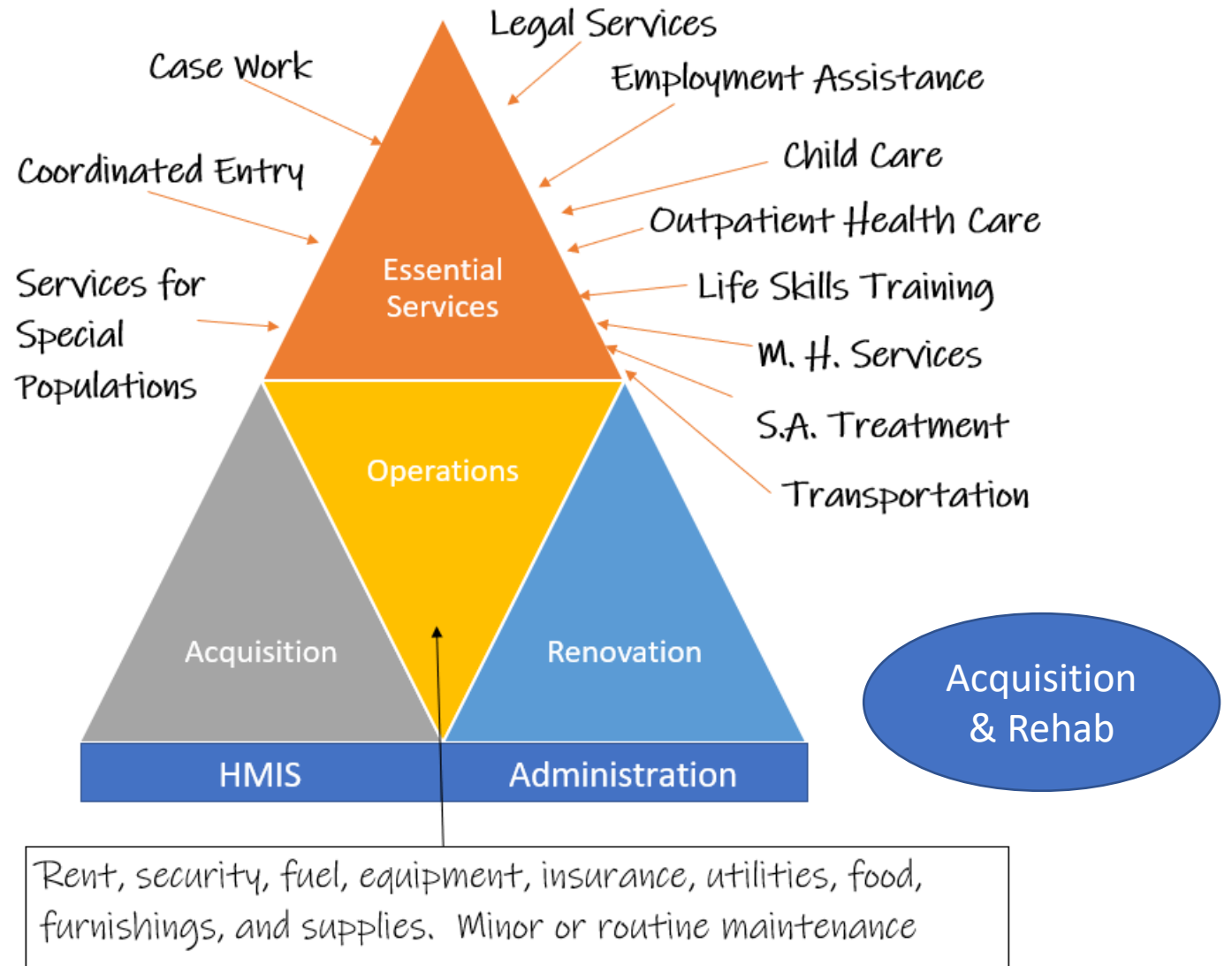
ESG Recipients Fund Projects By Component



Component Building Blocks Are Activities

Component and activity reference:
<https://files.hudexchange.info/resources/documents/ESG-Program-Components-Quick-Reference.pdf>

Component Example - Emergency Shelter



Components

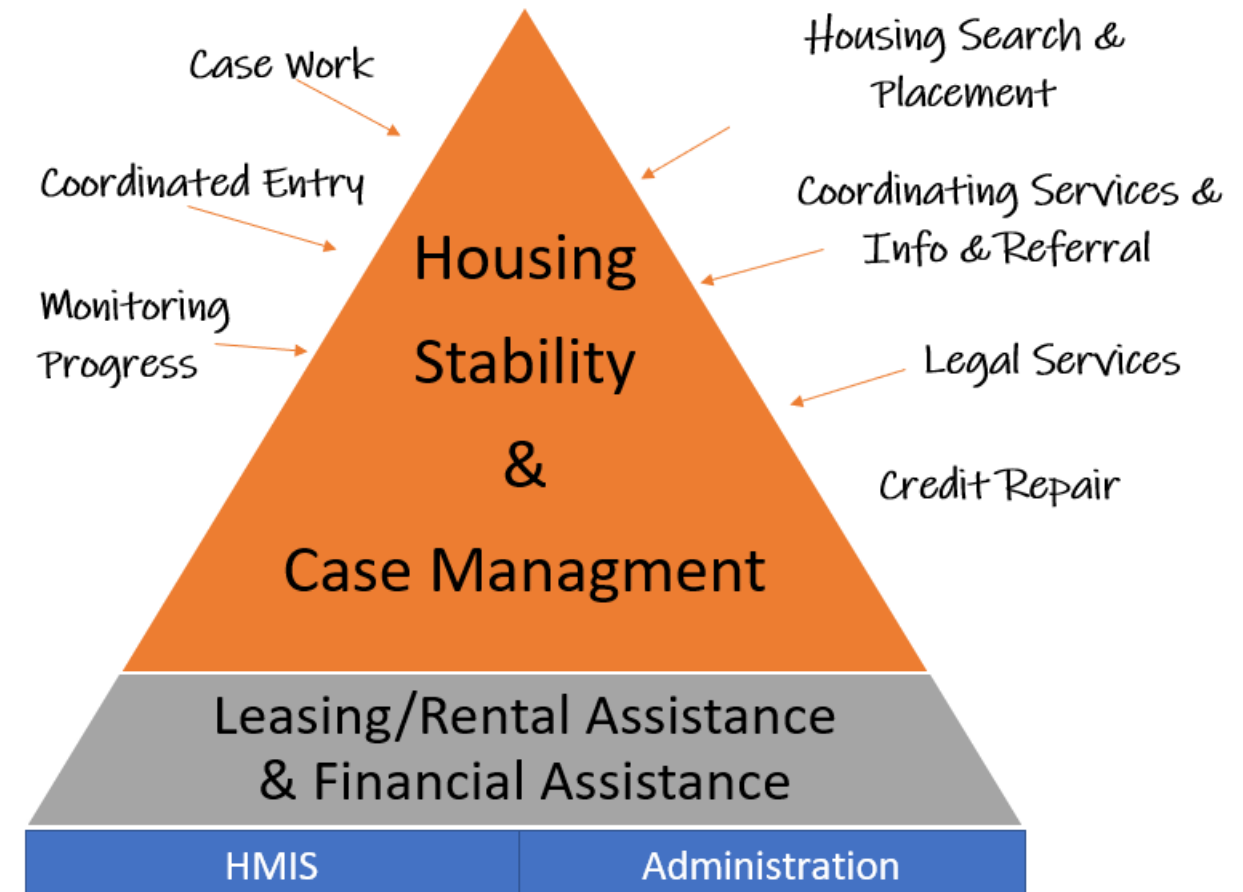
Each unique component is a project.

No project can be a combination of two different components.

Component and activity reference:
<https://files.hudexchange.info/resources/documents/ESG-Program-Components-Quick-Reference.pdf>

RRH = persons who are homeless

Homelessness Prevention = persons at-risk of homelessness



Rental assistance – short or medium term.
Security, utility deposits, utility payments, moving costs.

Projects & Practices



HOUSING NAVIGATION



DIVERSION



HOUSING FIRST

ESG Statewide Recipients & Project Lists

State recipients often face challenges in administering these programs, due to large geographies, limited capacity in many rural jurisdictions, diversity of needs and resources, as well as the need for coordination with a large number and wide variety of other entities.

Consultation and Coordination with the CoCs across the state is required.

HUD understands that all ESG recipients in States have a variety of processes used to identify and make awards to subrecipients. Regardless of the process the State must still be able to identify and report on EACH individual project funded.

HUD expects that ESG Recipients know at a minimum the specifics (below) of each project that is funded, including those projects where a state has provided funding to a subrecipient who then awards that funding out to a sub-subrecipient.

- Organization/provider operating the project
- Project name
- Component the project is funded under
- Eligible activities which were funded
- Financial information - received at least quarterly from subrecipients.

Understanding data collection for projects

Emergency Shelter (ES)

- HMIS project types: Emergency Shelter (1), Day Shelter (11), Transitional Housing (2)
- Shelters do not start and stop in HMIS.
- Shelters do not require identification of services provided to clients within the HMIS.
- Therefore, if ES is identified as the component for ESG the shelter will report on all persons sheltered during the reporting period.
- ESG reporting rule: If \$1 is provided to ES then everyone counts.

Street Outreach

- HMIS project type: Street Outreach (4)
- Must be identified as an ESG funded street outreach project & generally is in its own project in the HMIS.
- Street outreach serves unsheltered homeless.
- Street outreach reports on all persons contacted within the reporting period.
- Street outreach measures contacts & engagements.
- Data quality levels for street outreach is not expected until the client is engaged.

Understanding data collection for projects

Rapid ReHousing (RRH)

- HMIS project types: Rapid Rehousing (13)
- RRH serves literally homeless persons.
- RRH provides both housing & services. Recipients are encouraged to fund both activities in one project rather than divide between 2 recipients (e.g. State funds housing, City funds services)
- Housing Navigation (services to assist the individual find housing) is not a separate component or project. It is part of an overall RRH project.
- Legal services are an eligible service activity under RRH, not their own project.

Homelessness Prevention (HP)

- HMIS project type: Homelessness Prevention (12)
- HP serves persons at-risk of homelessness
- HP may be called shelter diversion in some communities
- Housing Navigation (services to assist the individual find housing) is not a separate component or project. It is part of an overall HP project.
- Legal services are an eligible service activity under HP, not their own project.

FAQs about projects

Coordinated Entry / Coordinated Assessment is a service – not a project

Each ESG-funded program or project within the Continuum of Care's area must use the CoC's Coordinated Assessment system. The recipient and subrecipient must work with the Continuum of Care to ensure the screening, assessment and referral of program participants are consistent with the written standards required by paragraph (e) of this section. A victim service provider may choose not to use the Continuum of Care's centralized or coordinated assessment system. (24 CFR § 546.400)

Coordinated Entry/Assessment is may be incorporated within a shelter, day shelter or street outreach project within the context of that staff's direct work with clients.

Legal Services – is a service – not a stand alone project

Eligible costs are the hourly fees for legal advice and representation by attorneys licensed and in good standing with the bar association of the State in which the services are provided, and by person(s) under the supervision of the licensed attorney, regarding matters that interfere with the program participant's ability to obtain and retain housing.

Emergency Solutions Grants (ESG) Program funds may be used only for these services to the extent that other appropriate legal services are unavailable or inaccessible within the community.

Incorporate legal services into an Emergency Shelter, RRH project or Homelessness Prevention project for HMIS.



Using Sage

Go to www.sagehmis.info - Select the Launchpad



ESG-Normal Program: Active CAPERs

Go to Report	Report Start Date	Report End Date	Status
Launchpad	9/1/2020	8/31/2021	Not Started

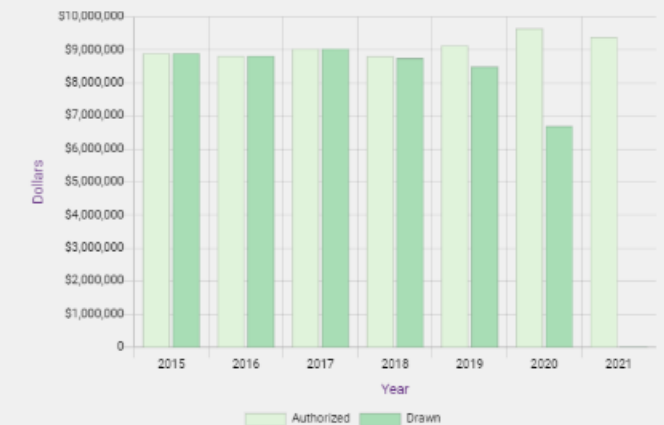
ESG-Normal Program: Previous CAPER Submissions

Go to Report	Report Start Date	Report End Date	Submission Date	Status
Launchpad	2/1/2019	8/31/2020	11/17/2020	Reviewed
Launchpad	2/1/2018	1/31/2019	4/23/2019	Reviewed
Launchpad	2/1/2017	1/31/2018	4/23/2018	Reviewed

IDIS ESG-Normal Funding Award and Draw Information [Show](#)

Latest IDIS transfer: 10/1/2021						
Fiscal Year	Grant Number	Current Authorized Amount	Total Drawn	Balance	Obligation Date	Expenditure Deadline
2021	E21DC480001	\$9,389,759.00	\$17,228.18	\$9,372,530.82	7/30/2021	7/30/2023
2020	E20DC480001	\$9,643,857.00	\$6,688,072.49	\$2,955,784.51	8/12/2020	8/12/2022
2019	E19DC480001	\$9,127,824.00	\$8,490,793.01	\$637,030.99	7/12/2019	7/12/2021
2018	E18DC480001	\$8,801,531.00	\$8,744,500.00	\$57,031.00	9/12/2018	9/12/2020
2017	E17DC480001	\$9,028,982.00	\$9,028,982.00	\$0	10/19/2017	10/19/2019
2016	E16DC480001	\$8,817,205.00	\$8,817,205.00	\$0	8/3/2016	8/3/2018
2015	E15DC480001	\$8,891,395.00	\$8,890,178.26	\$1,216.74	8/28/2015	8/28/2017
Total		\$78,883,940.00	\$65,860,345.94	\$13,023,594.06		

IDIS ESG-Normal Funding Award and Draw Information



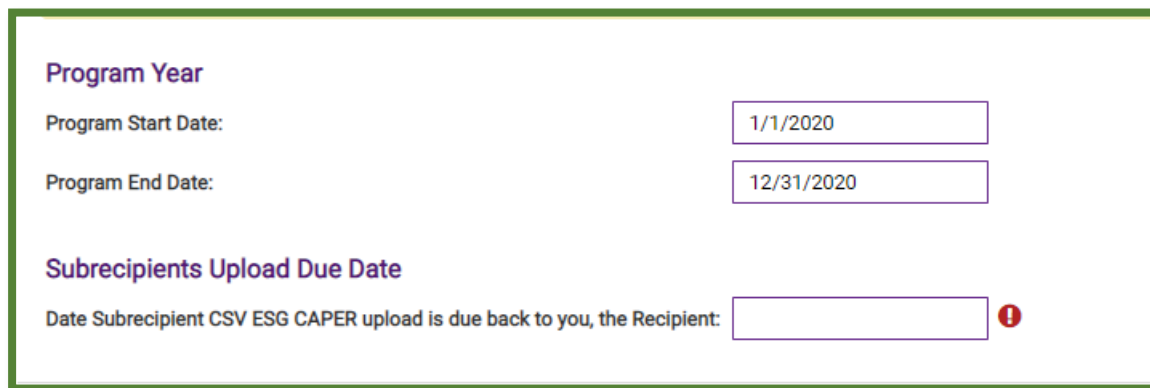
Step 1: Program Year Dates

Program Year

This report corresponds to the full CAPER report that is filed in IDIS through the eCon Planning Suite.

The date range for this report is the program year the jurisdiction has established with HUD.
The dates here = the dates on the full CAPER.

ALL subrecipient reports will be generated for this date range

A screenshot of a web form titled "Program Year" with a green border. It contains three input fields: "Program Start Date" with the value "1/1/2020", "Program End Date" with the value "12/31/2020", and "Subrecipients Upload Due Date" which is empty. Below the third field is a red information icon. The text "Date Subrecipient CSV ESG CAPER upload is due back to you, the Recipient:" is positioned to the left of the empty date field.

Program Year

Program Start Date:

Program End Date:

Subrecipients Upload Due Date

Date Subrecipient CSV ESG CAPER upload is due back to you, the Recipient: ⓘ

Subrecipients Upload Due Date – the date you want the data back from the subrecipients

Projects, links and uploads – how this works



1. Recipient **identifies EACH project** funded with ESG funds, the subrecipient, and the subrecipient contact & email.



2. Sage sends an email to the subrecipient asking for the upload & giving them a link to upload the report to.



3. Subrecipient generates their report from their HMIS or Comparable Database system. Downloads it on their desktop and **uploads** it to the Sage link.



4. The report is in the recipients CAPER report in Sage for the recipient to review and **use for their submission to HUD.**

Input projects bulk upload and/or individual project creation

Projects, Links, and Uploads

1. Bulk Upload of Projects [\[Close\]](#)

Click [here](#) to download a blank bulk import template.

Click [here](#) to download a bulk import template prepopulated with last year's CAPER links.

Select the completed upload template using the upload control below.

Choose File No file chosen

Upload

2. Individual Project Creation [\[Close\]](#)

Operating Dates 1/1/2020 through 12/31/2020

Organization Name

Organization Name

Project Name

Entity Name

ESG Component Type

Contact Name

Contact Name

Contact Email

Contact Email

Save

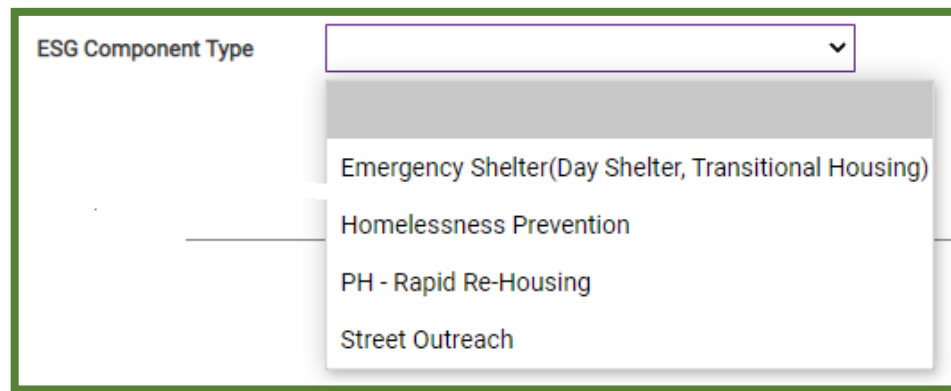
Clear

Please fill out the fields below. You can upload up to 300 entries at a time.

Organization Name	Project Name	ESG Component type	Contact Name	Contact Email Address

Project Notes

- An agency may have more than one project of the same component. Each project must be listed individually in Sage.
 - Example Salvation Army Men's Shelter & Salvation Army Family Shelter. If you funded both with ESG you list both projects on the project page on individual lines.
- **New** - No CAPER uploaded by subrecipients may contain more than one project listed on the project list.
- **New** – Sage no longer asks the recipient to identify the HMIS project type, but now asks the recipient to identify the component. The component on the project list must equate with the component the financial information is reported under.



The image shows a screenshot of a web form. On the left, the text "ESG Component Type" is displayed. To its right is a dropdown menu with a downward-pointing arrow. The dropdown menu is open, showing a list of four options: "Emergency Shelter(Day Shelter, Transitional Housing)", "Homelessness Prevention", "PH - Rapid Re-Housing", and "Street Outreach". The entire form area is enclosed in a green rectangular border.

Project Count

The project list and uploads create the “official number of projects” funded by ESG.

The list adds projects, persons, and households are added to the table at the top of the Projects, Links, and Upload form as the CSV uploads are submitted.

Projects carried out during the program year (according to files that have been uploaded)

Components	Projects	Total Persons Reported	Total Households Reported
Emergency Shelter	28	3,090	2,287
Day Shelter	0	0	0
Transitional Housing	1	29	11
Total Emergency Shelter Component	29	3,119	2,298
Total Street Outreach	4	565	422
Total PH - Rapid Re-Housing	15	389	248
Total Homelessness Prevention	15	719	311

Grant Information – Rehab/Conversion

Emergency Shelter Rehab/Conversion

Did you create additional shelter beds/units through an ESG-funded rehab project

→ Number of beds

→ Number of units

Did you create additional shelter beds/units through an ESG-funded conversion project

→ Number of beds

→ Number of units

Yes ▼

Yes ▼

- For rehab/conversion projects that span multiple project years of ESG funding report the beds/units the last year they received ESG funding.
- Report the number of beds and units that were created using ESG-CV funding during the operating year.
- Do not report any increase of beds/units that were funded with only ESG-CV funding

Grant Information - Data Participation

Data Participation Information

Are there any funded projects, except HMIS or Admin, which are not listed on the Project, Links and Uploads form? This includes projects in the HMIS and from VSP

Yes ▼

How many projects were not listed

a. Of those not listed - how many are required to use HMIS?

0

b. Of those not listed - how many are VSP, required to use a comparable database

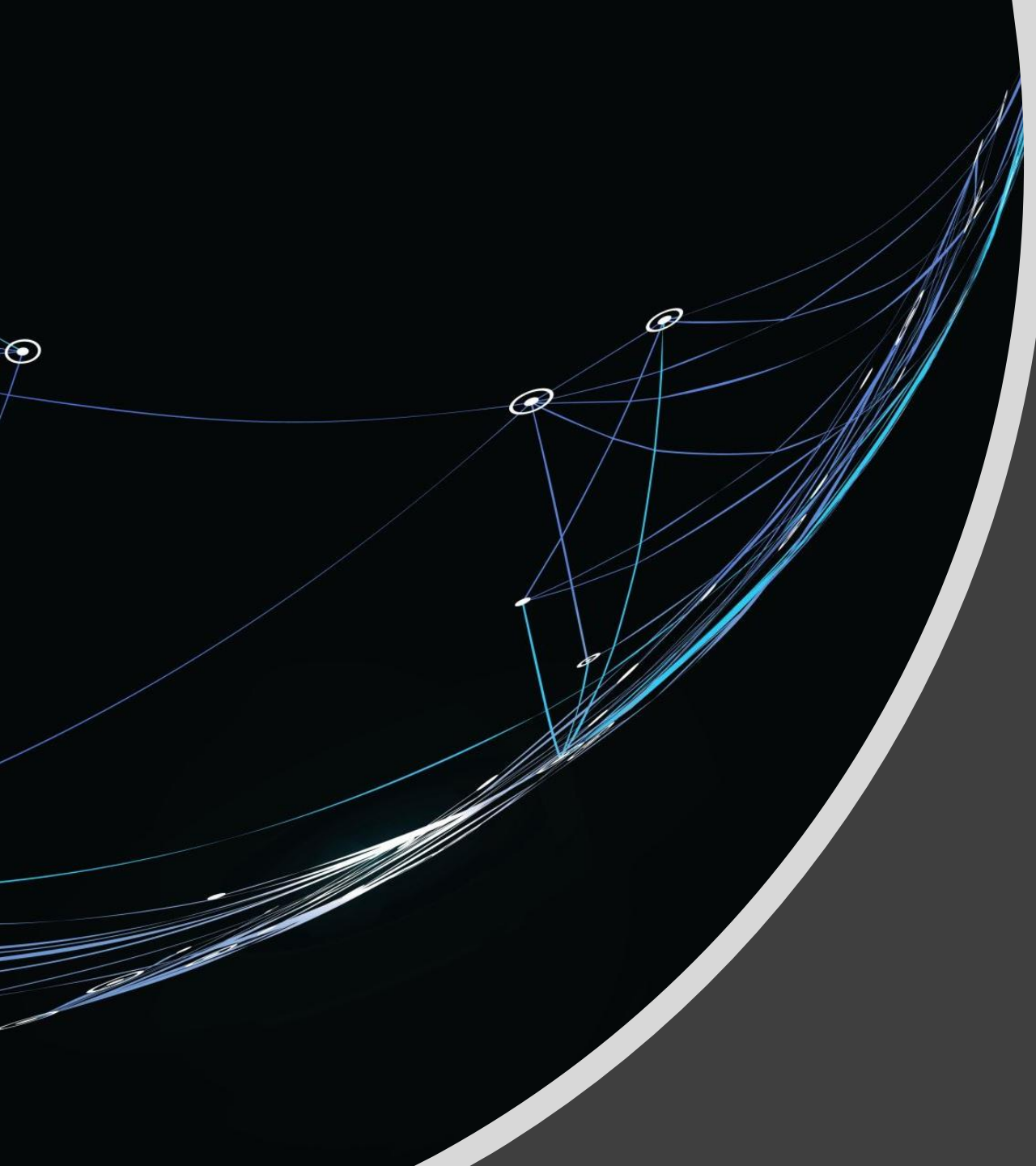
0

Please explain why the project(s) was not listed and why there is not an ESG-CAPER CSV upload for the project.

How many of the VSP projects have a HUD approved plan and are using a template rather than a comparable database report uploaded?

0

- All of the projects funded by ESG are required to use the Continuum of Care's HMIS unless the project is operated by a Victim Service Provider (VSP).
- VSP must use a comparable database system. A comparable database must be able to generate the ESG CAPER report in the CSV format.
- The recipient may no longer provide the VSP with an exception template. Should a VSP be unable to generate the report the recipient must submit an AAQ, then the recipient and the VSP will be required to develop a plan of how the VSP will come into compliance with the requirement and set a date for compliance. If the VSP does not meet the compliance date the recipient may receive a finding.



New Forms

Data Participation Information
Performance Accomplishments
Financial Information
Sources of Match

Start dates for using new reporting

Note: The current version of the [eCon Planning Suite Desk Guide](#) (p.283) contains an error; it references the shift of screen CR-75 questions from IDIS to Sage starting with all 2019 CAPER submissions. This discrepancy will be corrected in an upcoming release of the guide. Please follow the guidance below:

Starting with all **2021** CAPER submissions, CR-70 and CR-75 CAPER screen questions will be reported in Sage.

Continue completing CR-60 in the eCon Planning Suite

For all **2020** CAPER submissions, do not complete either the Project Outcomes or Financial Information screens in Sage; continue to use CR-70 and CR-75 CAPER screens in the eCon Planning Suite.

Jurisdictions with operating years that began in 2020 are completing their 2020 CAPER submissions.

Please enter your project outcomes data measured under the performance standards developed in consultation with the CoC and identified on screen AP-90/ of the eCon Planning Suite. You may either enter a project narrative or provide an attachment in PDF format.

Project Narrative

Enter up to 2500 characters to describe project outcomes.

57 of 2500 characters and spaces > ENLARGE

(Optional) Select a pdf file to attach:

Choose File No file chosen

Attached to this form:



Filename	Date uploaded

Project Outcomes – Options for Documentation

(Optional) Select a pdf file to attach:

Choose File No file chosen

 Attached to this form:

Filename	Date uploaded	
Project Outcomes - Recipient Name.pdf 	10/14/2021 11:52:43 AM	 DELETE

NOTE – Uploads must be in PDF format

Project Outcomes - Uploads

ESG Information from IDIS

As of 9/10/2021

FY	Grant Number	Current Authorized Amount	Funds Committed By Recipient	Funds Drawn	Balance Remaining	Obligation Date	Expenditure Deadline
2020		\$2,719,098.00	\$2,419,098.00	\$639,413.86	\$2,079,684.14	5/19/2020	5/19/2022
2019		\$2,639,097.00	\$2,638,023.05	\$2,538,615.26	\$100,481.74	9/17/2019	9/17/2021
2018		\$2,572,695.00	\$2,572,695.00	\$2,572,695.00	\$0	9/12/2018	9/12/2020
2017		\$2,754,579.00	\$2,754,579.00	\$2,754,579.00	\$0	10/19/2017	10/19/2019
2016		\$2,486,800.00	\$2,486,800.00	\$2,486,800.00	\$0	8/22/2016	8/22/2018
2015		\$2,524,294.00	\$2,524,294.00	\$2,524,294.00	\$0	8/5/2015	8/5/2017
Total		\$19,963,300.00	\$19,662,226.05	\$17,783,134.12	\$2,180,165.88		

On the top of the financial information form you will see the date the weekly upload information was transferred from IDIS to Sage.

Financial Information - IDIS

<input checked="" type="checkbox"/> 2020		<input checked="" type="checkbox"/> 2019		<input type="checkbox"/> 2018	<input type="checkbox"/> 2017	<input type="checkbox"/> 2016	<input type="checkbox"/> 2015
FY2020 Annual ESG Funds for		FY2019 Annual ESG Funds for					
Non-COVID	COVID	Non-COVID	COVID				
<input type="text" value="1.00"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>				
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>				
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>				
	<input type="text"/>		<input type="text"/>				
	<input type="text"/>		<input type="text"/>				
	<input type="text"/>		<input type="text"/>				
	<input type="text"/>		<input type="text"/>				
<input type="text" value="1.00"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>				

Select the Federal Fiscal Year or Years of federal funding being reported on.

FY 2020 is your 2020 ESG grant (this is the year reflected in your ESG grant number by the Fiscal Year identifier: e.g., E-**20**-MC-10-1234

A recipient may have expended funding from multiple fiscal years.

All funds from any fiscal year that were expended during the recipient's operating year are to be reported on in Sage.

Financial Information – Years Reported On

- FY 2020 and older annual ESG grant funds may be used to prevent, prepare for, and respond to coronavirus (PPR).
- When annual ESG funds are designated for coronavirus response, all flexibilities applicable to ESG-CV funds apply to those annual ESG funds as well.
- Recipients must meet all criteria in Section IV of the ESG-CV Notice (Notice CPD-21-08) for the flexibilities to be applicable to annual funds:
 - Identify specific activities and funding used to PPR in the IDIS activity description before drawing down funds in accordance with the notice flexibilities
 - Report amount of annual ESG used to PPR (as explained in this CAPER guidance)
 - Amend the Con Plan to reflect the use of funds to PPR (remember: consultation and citizen participation not required)

How Annual ESG is designated for COVID response

- Develop and implement policies and procedures to ensure and document that the:
 - ❖ Flexibilities are used only for activities used to PPR
 - ❖ Use of annual funds under the ESG-CV Notice flexibilities meet the same conditions that apply to the use of ESG-CV funds under those flexibilities (including prohibition on prerequisite activities) except:
 - Prohibition on prerequisite activities only applies starting 30 days from the date of the Notice (i.e., August 19, 2021) and
 - Expenditure and recapture requirements for ESG-CV funds do not apply to any annual ESG funds.

How Annual ESG is designated for COVID response

<input checked="" type="checkbox"/> 2020		<input checked="" type="checkbox"/> 2019		<input type="checkbox"/> 2018	<input type="checkbox"/> 2017	<input type="checkbox"/> 2016	<input type="checkbox"/> 2015
FY2020 Annual ESG Funds for		FY2019 Annual ESG Funds for					
Non-COVID	COVID	Non-COVID	COVID				
<input type="text" value="1.00"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>				
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>				
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>				
	<input type="text"/>		<input type="text"/>				
	<input type="text"/>		<input type="text"/>				
	<input type="text"/>		<input type="text"/>				
	<input type="text"/>		<input type="text"/>				
<input type="text" value="1.00"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>				

The CARES Act enabled recipients to use their annual ESG dollars (FY 2020 and older) for activities related to preventing, preparing for and responding to COVID.

Enter the amount of annual ESG funds expended on these activities for COVID response in the COVID column.

Do NOT enter any ESG-CV funding expended.

Financial Information – COVID

Expenditures	<input checked="" type="checkbox"/> 2020	<input type="checkbox"/> 2019	<input type="checkbox"/> 2018	<input type="checkbox"/> 2017
	FY2020 Annual ESG Funds for			
	Non-COVID	COVID		
Homelessness Prevention				
Rental Assistance	<input type="text"/>	<input type="text"/>		
Relocation and Stabilization Services - Financial Assistance	<input type="text"/>	<input type="text"/>		
Relocation and Stabilization Services - Services	<input type="text"/>	<input type="text"/>		
Hazard Pay (unique activity)		<input type="text"/>		
Landlord Incentives (unique activity)		<input type="text"/>		
Volunteer Incentives (unique activity)		<input type="text"/>		
Training (unique activity)		<input type="text"/>		
Homeless Prevention Expenses	<input type="text" value="0.00"/>	<input type="text" value="0.00"/>		
	FY2020 Annual ESG Funds for			
	Non-COVID	COVID		
Rapid Re-Housing				
Rental Assistance	<input type="text"/>	<input type="text"/>		
Relocation and Stabilization Services - Financial Assistance	<input type="text"/>	<input type="text"/>		

Non-COVID	COVID
HP	HP
RRH	RRH
ES	ES
	TES
Street Outreach	Street Outreach
Other	Other
HMIS	HMIS
Admin	Admin

Financial Information – Detailed like ESG-CV

	FY2020	FY2019	FY2018	FY2017	FY2016	FY2015
Total regular ESG plus COVID expenditures brought forward	0.00	0.00	0.00	0.00	0.00	0.00
Total ESG used for COVID brought forward	0.00					
Total requiring a match	0.00					
Match Percentage	0	0	0	0	0.00	0

Match Source	FY2020	FY2019	FY2018	FY2017	FY2016	FY2015
Other Non-ESG HUD Funds	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other Federal Funds	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
State Government	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Local Government	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Private Funds	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Other	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fees	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Program Income	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Total Match	0.00	0.00	0.00	0.00	0.00	0.00

	FY2020	FY2019	FY2018	FY2017	FY2016	FY2015
Match numbers from financial form						

Sage brings forward the information from the financial information form on

- Total Regular ESG + COVID expenditures
- Total ESG used for COVID
- Then calculates how much funding is required for the match and what that percentage is.

Required match for ESG 100% (minus \$100,000 for States)

Required match for annual ESG used for COVID response: 0%

Financial Information – Match



Moving forward

Do you have ideas or suggestions about ESG reporting, Sage, training or assistance that would make reporting easier or more accurate? Put them in the chat or send them to the AAQ – Sage Desk.



Questions?