

COVID-19

Homeless System Response: Emergency Solutions Grant Program (ESG-CV) Reporting Guidance

The [CARES Act](#) appropriated \$4 billion through the Emergency Solutions Grants Program “to prevent, prepare for, and respond to coronavirus, among individuals and families who are homeless or receiving homeless assistance and to support additional homeless assistance and homelessness prevention activities to mitigate the impacts created by coronavirus under the Emergency Solutions Grants program (42 U.S.C. 11371).”

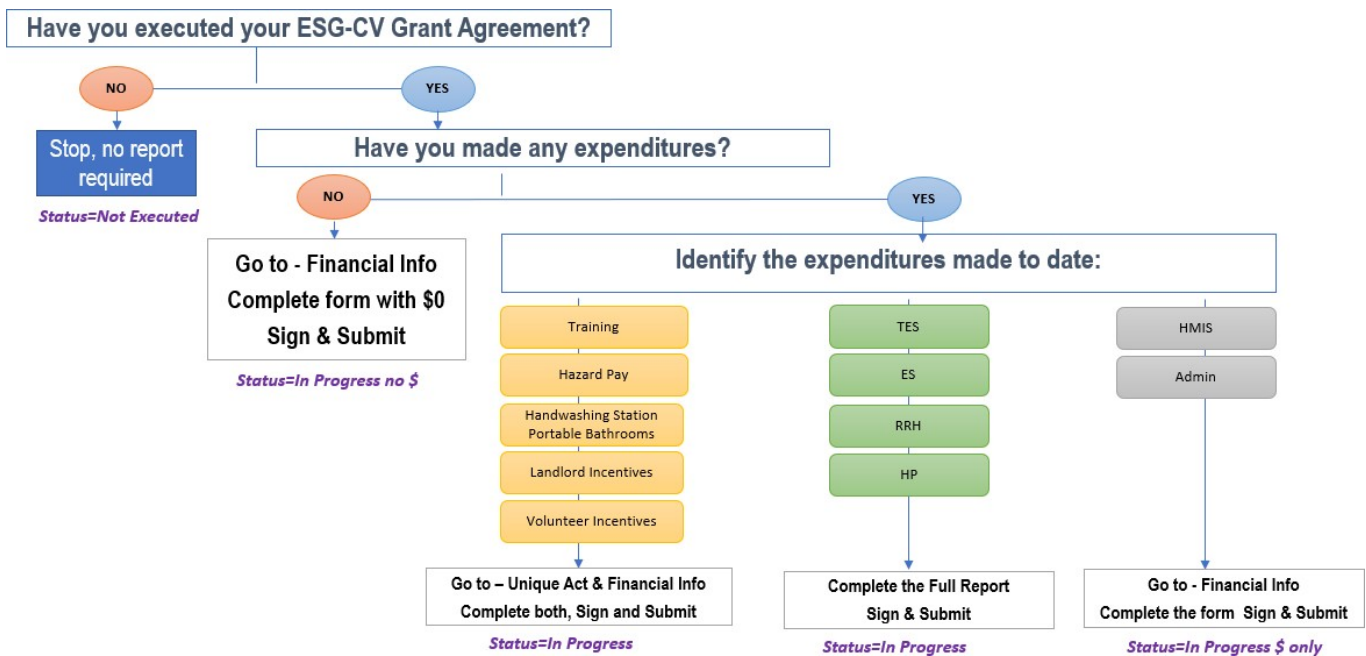
HUD requires each recipient of this ESG allocation, referred to as ESG-CV, to submit reports quarterly. ESG-CV recipients will submit their reports through the [Sage HMIS Reporting Repository](#). Detailed information on creating user accounts, generally working in Sage, and complete CSV HMIS data reporting is found in the [ESG CAPER Guidebook](#) accessible through the HUD Exchange and via the RESOURCES tab in Sage. Reports will be due 30 calendar days after the quarter ends. The reporting schedule and due dates are as follows:

ESG-CV Report Submissions	Due Date
Start to September 30, 2020	October 30, 2020
October 1, 2020 to December 31, 2020	January 30, 2021
January 1, 2021 to March 31, 2021	April 30, 2021
April 1, 2021 to June 30, 2021	July 30, 2021
July 1, 2021 to September 30, 2021	October 30, 2021
October 1, 2021 to December 31, 2021	January 30, 2022
January 1, 2022 to March 31, 2022	April 30, 2022
April 1, 2022 to June 30, 2022	July 30, 2022
July 1, 2022 to September 30, 2022	October 30, 2022

Additional submissions as needed until the grant is closed out.

Report Requirements

Everyone with an ESG-CV award must enter information into Sage quarterly. During the period prior to serving clients, Sage will walk the recipient through a series of questions which will determine what the recipient will report.



The recipient's responses to the questions lead to the following report requirements:

1. If the recipient **does not have an executed ESG-CV Grant Agreement**, the recipient will indicate "no" on the report and no further information will be required for this reporting period.
2. If the recipient **has an executed Grant Agreement and has not made any expenditures**, the recipient will indicate "no" and be directed to the Financial Information form to enter "\$0.00" expended as of the last day of the report range.
3. If the recipient **has an executed Grant Agreement and has made expenditures**, the recipient will identify the types of expenditures made to date and, depending on the response, will be directed to different sections of the report.
 - a. **Expenditures for Activities Unique to the ESG-CV Notice Only** – Training, Hazard Pay, Handwashing Stations, Portable Bathrooms, Landlord Incentives or Volunteer Incentives will be directed to the Unique Activity Form and the Financial Information form to complete.
 - b. **Expenditures for HMIS or Administration Only** – will be directed to the Financial Information form to complete.
 - c. **Expenditures for Any Client-Related Components** – Street Outreach, Temporary Emergency Shelter, Emergency Shelter, Rapid Re-Housing, or Homelessness Prevention will be required to complete all forms in Sage.

Temporary Emergency Shelter

As defined by Notice CPD-20-08 released September 1, 2020: a "Temporary Emergency Shelter means any structure or portion of a structure, which is used for a limited period of time because of a crisis, such as a natural disaster or public health emergency, to provide shelter for individuals and families displaced from their normal place of residence or sheltered or unsheltered locations."

For purposes of distinguishing between emergency shelter and temporary emergency shelter for HMIS project setup, a temporary emergency shelter meets the following criteria:

1. Structure or portion of a structure is used to provide shelter to individuals and families displaced from their normal place of residence or sheltered/unsheltered locations due to a natural disaster or public health emergency
2. Local public health official determined that temporary emergency shelter is necessary for the community's coronavirus response; and
3. Structure or portion of a structure is in use for the period of time needed for coronavirus response or until January 31, 2022, whichever is earlier.

A facility that meets the definition above does not have to conduct an environmental review or habitability analysis but must still comply with nondiscrimination and applicable accessibility requirements.

Reporting Format

Recipients will use a format similar to the ESG Consolidated Annual Performance and Evaluation Report (CAPER) used for normal ESG funding. The reports will consist of:

1. a **description of unique activities** provided in the quarter which are unique to the ESG-CV Notice
2. a **quarterly CSV upload** - generated based on the date range of each quarter
 - a. one CSV bundle for all projects in the HMIS that are the same ESG Component (i.e., Street Outreach; Temporary Emergency Shelter; Emergency Shelter, Rapid Rehousing, and Homelessness Prevention).
 - b. individual CSV files for any Victim Service Providers (VSP) funded with ESG-CV.
3. a **cumulative CSV upload** - generated from the Start Date of ESG-CV in the jurisdiction to the end date of each quarter.
 - a. one CSV which bundles the data for all projects in the HMIS that are the same ESG Component (i.e., Street Outreach; Temporary Emergency Shelter; Emergency Shelter, Rapid Rehousing, and Homelessness Prevention).
 - b. individual CSV files for any VSP funded with ESG-CV.
4. **expenditure information** documenting quarterly ESG-CV

The requirement to submit CSVs by project type for all data in HMIS means that HMIS system administrators will play a key role in preparing the data for the ESG-CV quarterly reports. ESG-CV recipients should consider how

much funding will be required for the HMIS system administrator(s) to meet these ESG-CV reporting requirements.

ESG-CV Submission Requirements

The Submission Launchpad for each quarterly report is accessible through the recipient's ESG dashboard in Sage. It is accessed through a separate table on the dashboard from the regular ESG program reporting. Note that the ESG-CV report in Sage has yellow banners at the top of each page providing instructions for the page. Please read and follow the instructions prior to completing the page.

Step 1: Review and Set ESG-CV Dates

The timeframe for each quarterly report is auto populated by Sage.

The initial reporting start date is a date identified by the ESG-CV recipient for all projects which started between January 21 and September 30, 2020. The date will be used for the entire ESG-CV reporting period as the start date for all cumulative data reports generated by the HMIS and/or Comparable Database System (CDS). This field will be set by the recipient on the first ESG-CV report and then will be locked for all subsequent reporting. If the recipient has not begun services that require reporting by September 30, 2020, they will be able to enter a date in any following quarter that is within the quarter date range.

Considerations for Setting the Reporting Start Date for Emergency Shelter and Street Outreach Projects

The date cannot be before January 21, 2020.

The date should be either:

- The first date that the first regular (on-going) emergency shelter or street outreach, recording data in HMIS, began serving clients with ESG-CV funding for either essential services or operations **OR**
- If no emergency shelter or street outreach funding was provided prior to October 1, 2020 the first date any component other than emergency shelter or street outreach began serving clients.

Reporting for ESG-CV out of the HMIS will be "bundled reports." A bundled report is simply a CSV ESG-CAPER report where the data from multiple projects for the same component (e.g. Shelter, RRH, etc.) are run together for a single date range to create a single CSV report. Using bundles allows a community to limit duplicate counts. If the same client is served in multiple shelters or outreach projects during the same reporting period, they will only be counted one time in the report.

Regular, on-going shelters and street outreach projects that are already using HMIS have been collecting their data in their existing project in the system. When generating bundled reports for ESG-CV all projects in the bundle will have the same start date. Setting a date before the majority of people are being served could cause an overcount.

A date field is also available for each report which enables the recipient to indicate the date that the CSVs are due back from HMIS Lead Organizations and VSP comparable database system (CDS) contact(s).

Step 2: Set up HMIS Lead/Comparable Database System Contacts

The request sent from Sage by the recipient for the CSV uploads will go to the HMIS Lead or, in the case of VSPs, the CDS contact person. In this step the recipient identifies the person the quarterly reporting request will go to. Create one contact record for each HMIS implementation in use in the ESG-CV jurisdiction.

An HMIS implementation is the area covered by the HMIS system, a State may have multiple implementations or a single statewide implementation. The recipient should reach out to the

Continuum of Care or HMIS Lead if they are not sure of the structure of the local HMIS and to identify the contact person.

Create one contact record for each VSP. Data from these providers may not be entered into the HMIS and each provider must have a unique CDS. Therefore, each VSP will require a contact record. Because the project reporting is by component, individual subrecipients (except for VSPs) cannot generate the CSV from the HMIS. Staff from the HMIS Lead agency will need to generate the CSV and may be compensated

for doing so using funding from the HMIS or Administration line items (depending on the nature of the activity). HMIS Leads must work through the link system and should not have user accounts created to directly upload to Sage. No subrecipients or HMIS Leads may have user level access to ESG in Sage to upload the reports. Additionally, the recipient must send the links to the HMIS Lead or VSP. Recipients must not gather the reports outside of Sage for the purpose of uploading them into Sage themselves.

Step 3: Identify ESG-CV Projects Funded

Select a component tab from the "Project Funded" form in Sage. There is one tab for each ESG-CV component. The components are: Temporary Emergency Shelter, Emergency Shelter (Normal), Street Outreach, Rapid Re-Housing and Homelessness Prevention. Both recipients and HMIS Leads should refer to Attachment 1 of this document for information on the components, allowable expenses, HMIS Project Type, and CSV submission details.

Each individual project that was funded through ESG-CV will require a project record. Click the "Add New Project" button and complete the information on the line that opens. To assist users, Sage has been preloaded with the names of the Subrecipients and Sub-Subrecipients that the user has funded previously with ESG funds. Begin typing the name of the Subrecipient and select the correct one from the drop-down menu. If the Subrecipient is not on the drop-down menu, simply type in the full name of the subrecipient on the line. Sub-subrecipients are used when the recipient provides funding to another entity who then contracts with service providers (e.g. A state awards ESG-CV funding to a City and then the City subcontracts with a provider for service. The sub-subrecipient is the provider of service.) If there is no sub-subrecipient leave the cell blank.

Next type in the full name of the project. Do not use abbreviations, contract numbers, or any other configuration in this field. The name of the project is critical for the HMIS Lead to use to identify which project in their system is being referred to. Communication between the recipient and the HMIS Lead prior to completing the form may be useful to assure the project name is identifiable to both parties. There is an optional tag for the recipient to use as needed. The recipient can elect to use this tag to further identify the project for "in-house" identification of the project (e.g. contract number, in-house naming convention, etc.). Finally select from the drop-down list the HMIS or VSP that the project is using to collect data. This list was created from the HMIS Lead/Comparable Database Contact provided in Step 2.

Save the form and move to the next component tab repeating the process outlined above until all projects funded with ESG-CV have been entered.

If a mistake is made use the **EDIT** function to correct a line on the form. If a subrecipient is incorrectly placed in a component, use the **DELETE** function to remove the project completely. There should be no blank lines on the bottom of forms. Use the **UNDO** function to remove any blank lines on the form.

Step 4. Create and Review Bundles

A CSV of the ESG-CV report is required for each component that was funded under ESG-CV from each HMIS or CDS. There is no requirement for a CSV upload for any funds expended on HMIS or comparable databases.

Sage will use the information entered by the recipient in Step 3 to identify the "bundles" that are to be generated from the HMIS or CDS. A "bundle" is simply a way of generating a single report across one or more providers. Each component funded by the recipient whose data is in a single HMIS implementation are to be reported in a single CSV bundle uploaded to Sage. For example, if the recipient funded 5 on-going Emergency Shelters and 1 Day Shelter with ESG-CV funds, all 6 projects will have their client data aggregated and unduplicated by the HMIS into a single report. The HMIS Lead or CDS staff will produce a CSV on that report and then will upload the CSV to Sage. This method will allow an unduplicated count of persons served by component to the maximum extent possible. (Note: This is opposite of the regular ESG program which prohibits recipients from bundling projects into a single CSV and that process will not be changing.) For recipients that have a single HMIS implementation which covers all of their geography they will normally only have a single CSV for each component that was funded.

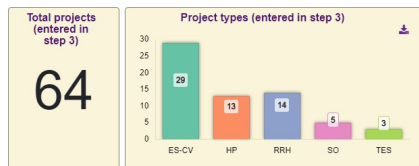
For recipients, primarily states, with multiple HMIS implementations within their geography they will have uploads of each component for each HMIS implementation¹.

¹ An HMIS implementation may be confined to a single CoC geography, a multi CoC geography or it may be statewide.

Follow these steps to create and review the bundles each quarter.

1. Check your information!

- All projects entered in Step 3 are shown in this chart. This includes closed projects, because they still must be included in cumulative reports.
- Does the number of total projects balance with what was funded?
- Does the number of projects by component balance with what was funded?
- If you find something wrong, click the ← back button and fix it before you → Create Bundles.



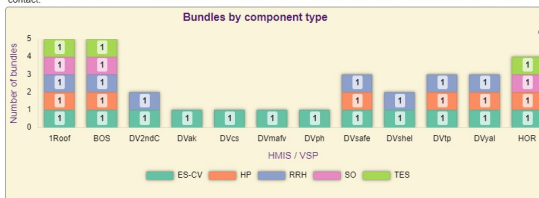
2. Create bundles

- Click → Create Bundles for Sage to put the projects together into a bundle.
- Click → Delete Bundles if you find a mistake and need to make any corrections.



3. Bundles for each HMIS / VSP

This chart shows the total number of bundles created and how many bundles are required to be submitted by each HMIS/VSP contact.



4. VIEW and Approve each Quarterly Report bundle

Click the VIEW / APPROVE links below for any bundles requiring approval.
 ✓ All the bundles have been approved.

Total bundles	Number requiring approval
31	0

5. When you have approved all bundles, click the → Send bundles button at the bottom of the page
 ✓ You have sent all the bundles.

Total sent	Total received
31	1

1. Check your information. The first graph identifies the total number of projects entered in Step 3 and the total number of each type of project. This should equal the total number of projects by component type that received funding this quarter. If the numbers on screen do not balance with your information there is an error in a project entered in Step 3. Return to Step 3 and either DELETE a duplicate or subrecipient entered in the wrong component or Add a New Project for a missing project.



2. Create bundles. Click the “Create Bundles” button for Sage to identify which projects will be bundled together. A list of all projects identified will be created on screen.

3. See the bundles. The graph displays the total number of bundles that Sage has created and the total number of bundles by component type to be sent to each HMIS or CDS contact identified in Step 2.



4. View each bundle. Click VIEW/APPROVE on the line for each bundle. Sage has identified which projects go together in a bundle. If the list is correct click “approve this bundle.”



If a bundle has incorrect projects in it, close the form and “Delete Bundles.” This will remove all of the bundling. Go back to Step 3 and correct the project that is appearing in the incorrect bundle. Save the correction. Then return to Step 4 and click “Create Bundles” again. All bundles must be viewed and approved prior to being emailed out to the HMIS and VSP contacts.

Special bundle notes:

Quarterly vs Cumulative

After the initial ESG-CV report is submitted to HUD, all recipients will submit both a Quarterly and Cumulative report on funded projects. The quarterly report will follow the same pattern of bundling projects as has been outlined above.

Early Starting Projects

Projects funded prior to the release of the Notice will all be reported using the same process as outlined above beginning on the “start date” of the earliest project. The first quarterly report will include all projects funded with ESG-CV through September 30, 2020. Early starting projects should be bundled as outlined above. They will be included in the CSV quarterly and cumulative reports thereafter.

Late Starting Projects

HUD strongly recommends that recipients consider reporting ramifications (e.g., counting persons that were not served by the ESG-CV funded project) in establishing the funding dates for on-going projects.

RRH or Homelessness Prevention projects beginning after October 1 will begin reporting on the first day of the quarter they are funded (e.g., funding begins October 15, the reporting period begins October 1). They will be set up as “new” projects in the HMIS. They will be bundled with the other RRH or Homelessness Prevention projects the recipient funded and provide regular quarterly and cumulative reports thereafter.

Existing emergency shelter and street outreach projects in the community that are funded with ESG-CV funding after October 1 will be required to be placed in a separate cumulative report bundle to mitigate overcounts. This means that if an emergency shelter or outreach project was funded to begin October 1, 2021 with ESG-CV funds and did not have any ESG-CV funding prior to that their data will be placed in the quarterly CSV upload beginning the first date of the month identified as their start (October 1, 2021 for this example). Their data will not be

included in the cumulative Emergency Shelter bundle and will then have to have a separate bundle with projects of the same component type which began in that quarter.

Early Ending Projects

Projects that end before the ESG-CV grant’s period of performance end date will be removed from all future quarterly reports and will only include data up to the point they ended operating with ESG-CV funds in the cumulative bundles effective on the last day of the month that the project ended.

Send bundles:



When the recipient has reviewed all the bundle information a green button will appear on screen, identifying how many bundles the recipient is prepared to send. By clicking the “Send” button Sage sends an email to each HMIS and CSV contact person requesting the CSV bundles be submitted to the recipient by the date specified in Step 1. The HMIS and VSP Contacts have 24 business hours to determine if there is an error in their bundle request and to notify the recipient. The recipient must contact the [Ask A Question](#) on the HUD Exchange (selecting “Sage” in Step 2) for assistance to determine how the bundle error needs to be corrected and to generate the correction in their report. After the 24-hour period has ended the bundles may not be recalled.

Step 5: Complete ESG-CV Information on Allowable Activities

Identify all the additional eligible activities established in the ESG-CV Notice for which ESG-CV funds were expended during this quarter’s reporting period:

- Temporary Emergency Shelters - essential services
- Temporary Emergency Shelters - operating costs
- Temporary Emergency Shelters - leasing existing real property or temporary structures
- Temporary Emergency Shelters - acquisition of real property
- Temporary Emergency Shelters - renovation of real property
- Training
- Hazard Pay
- Handwashing stations/portable bathrooms
- Landlord Incentives
- Volunteer Incentives

For each activity that was provided during the quarter provide a brief narrative of 2,500 characters or less in the accompanying text box. The recipient must describe the assistance provided, including how you used the service to prevent, prepare for, and respond to COVID-19 and why it was necessary for your crisis response effort.

Step 6: Complete Financial Information

The financial information collected in Sage is the same as would be reported on CR-75 of the IDIS CAPER. Completion of this form replaces CR-75 CAPER information in IDIS for ESG-CV. Report funding expended during this reporting period (i.e., quarter).

Expenditures for Homelessness Prevention

Rental Housing	\$
Relocation and Stabilization Services - Financial Assistance	\$
Relocation and Stabilization Services - Services	\$
Hazard Pay <i>(unique activity)</i>	\$
Landlord Incentives <i>(unique activity)</i>	\$
Volunteer Incentives <i>(unique activity)</i>	\$
Training <i>(unique activity)</i>	\$
Subtotal Homelessness Prevention	-- Sage sums --

Expenditures for Rapid Rehousing

Rental Housing	\$
Relocation and Stabilization Services - Financial Assistance	\$
Relocation and Stabilization Services - Services	\$
Hazard Pay <i>(unique activity)</i>	\$
Landlord Incentives <i>(unique activity)</i>	\$
Volunteer Incentives <i>(unique activity)</i>	\$
Training <i>(unique activity)</i>	\$
Subtotal Rapid Rehousing	-- Sage sums --

Expenditures for Emergency Shelter (Normal)

Essential Services	\$
Operations	\$
Renovation	\$
Major Rehab	\$
Conversion	\$
Hazard Pay <i>(unique activity)</i>	\$
Volunteer Incentives <i>(unique activity)</i>	\$
Training <i>(unique activity)</i>	\$
Subtotal Emergency Shelter	-- Sage sums --

Expenditures for Temporary Emergency Shelter

Essential Services	\$
Operations	\$
Leasing existing real property or temporary structures	\$
Acquisition	\$
Renovation	\$
Hazard Pay <i>(unique activity)</i>	\$
Volunteer Incentives <i>(unique activity)</i>	\$
Training <i>(unique activity)</i>	\$
Other Shelter Costs	\$
Subtotal Temporary Emergency Shelter	-- Sage sums --

Expenditures for Street Outreach

Essential Services	\$
Hazard Pay <i>(unique activity)</i>	\$
Handwashing stations/portable bathrooms <i>(unique activity)</i>	\$
Volunteer Incentives <i>(unique activity)</i>	\$
Training <i>(unique activity)</i>	\$
Subtotal Temporary Emergency Shelter	-- Sage sums --

Other ESG-CV Expenditures

Training <i>(unique activity)</i>	\$
HMIS	\$
Administration	\$
Subtotal Temporary Emergency Shelter	-- Sage sums --

Total ESG-CV Expenditures	-- Sage sums --
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Step 7: Complete Contact Information

Complete the contact information form. Identify the person that HUD should contact regarding this submission if any questions or issues arise. The contact person should be familiar with both the projects and the CAPER submission. The person identified on this form will receive the email from Sage acknowledging the submission of the CAPER in Sage.

Step 8: Complete an Additional Comments (optional)

The Additional Comments form is an optional form which allows a recipient to inform HUD of any issues regarding the report. The ESG-CV report reviewer will see any comments on the form as they begin their review.

Attachment 1 – Components, Expenses and CSV Submissions

ESG-CV Components	Allowable Expenses	CSV Submissions
Emergency Shelter (ES)	Temporary Emergency Shelter <ul style="list-style-type: none"> Essential Services Operations Leasing existing real property or temporary structures Acquisition Renovation Major rehab Conversion Hazard Pay Volunteer Incentives Training Other shelter costs (if approved in writing by HUD) 	HMIS Project type – 1 ES Submit one CSV combining all projects funded as Temporary Emergency Shelter. The CSV will report all persons sheltered during the reporting period regardless of what funding was received by the shelter. For purposes of HMIS project setup, a temporary emergency shelter meets the following criteria: <ul style="list-style-type: none"> Structure or portion of a structure is used to provide shelter to individuals and families displaced from their normal place of residence or sheltered/unsheltered locations due to a natural disaster or public health emergency Local public health official determined that temporary emergency shelter is necessary for the community's coronavirus response; and Structure or portion of a structure is in use for the period of time needed for coronavirus response or until January 31, 2022, whichever is earlier.
	Emergency Shelter (normal) <ul style="list-style-type: none"> Essential Services Operations Renovation Major Rehab Conversion Hazard Pay Volunteer Incentives Training 	HMIS Project types – 1 ES; 11 Day Shelter or 2 TH (grandfathered projects only) Submit one CSV combining all projects funded under the Emergency Shelter component of ESG-CV. These could include Emergency Shelters, Day Shelters or grandfathered Transitional Housing projects. This includes persons sheltered in traditional shelter buildings and those provided hotel/motel vouchers. The CSV will report all persons sheltered during the reporting period regardless of what funding was received by the shelter or what services any person received.
Street Outreach (SO)	<ul style="list-style-type: none"> Essential Services Hazard Pay Volunteer Incentives Handwashing stations/portable bathrooms (unique activity) Training 	HMIS Project type – 4 Street Outreach Submit one CSV combining all projects funded as Street Outreach. All persons who are living in places unfit for human habitation who are served are reported, regardless of what ESG-CV service or activity was received.
Rapid Re-Housing (RRH)	<ul style="list-style-type: none"> Rental Assistance Financial Assistance Services Hazard Pay Landlord Incentives Volunteer Incentives Training 	HMIS Project type – 13 RRH Submit one CSV combining all projects funded as Rapid Rehousing regardless of whether the funding was for housing subsidies or housing search and placement services.
Homelessness Prevention (HP)	<ul style="list-style-type: none"> Rental Assistance Financial Assistance Services Hazard Pay Landlord Incentives Volunteer Incentives Training 	HMIS Project type – 12 HP Submit one CSV combining all projects funded as Homelessness Prevention regardless of whether the funding was prevention activities or service. Note: Shelter diversion is reported under Homelessness Prevention in HMIS.
HMIS	<ul style="list-style-type: none"> See HMIS Allowable Expenses for ESG 	There is no HMIS data collection or CSV reporting requirement for this component.
Administration	<ul style="list-style-type: none"> Up to 10% 	There is no HMIS data collection or CSV reporting requirement for this component.