ESG CAPER Guidebook

For the Emergency Solutions Grants (ESG) program and the Rapid Unsheltered Survivor Housing (RUSH) reports submitted on or after April 1, 2023.

April 2025
Version 3

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Updates	
January 1, 2023	Guidebook (v.1) published
September 2023	Guidebook (v.2) published. Updates were made to add RUSH reporting and to describe the new dashboards in Sage
April 2025	Edits to align with Presidential Administration directives

Introduction

The Consolidated Annual Performance Evaluation Report (CAPER) is the primary mechanism for Emergency Solutions Grants (ESG) Program accomplishment reporting. Beginning October 1, 2017, recipients began to use ***Sage*** to report all required HMIS data on persons assisted with ESG. Beginning October 1, 2021, the CAPER in ***Sage*** replaced CAPER screens CR-65, CR-70, and CR-75 in the jurisdiction's annual CAPER report submitted in the eCon Planning Suite. ESG-specific CAPER screen CR-60 must still be submitted in the eCon Planning Suite.

The annual ESG CAPER report through Sage is required to be submitted by all recipients within 90 days of the end of the operating year. Should a recipient apply and be approved for a submission extension from their local CPD Field Office, that extension will apply to the ESG CAPER report through Sage also.

In October 2022, HUD began to make funding available to states and localities for severe disasters under the ESG Program. Given its unique nature, HUD is referring to this funding as the new Rapid Unsheltered Survivor Housing (RUSH) program. RUSH funding is available to help communities provide outreach, emergency shelter, rapid re-housing, and other assistance to people experiencing or at risk of homelessness who are in a disaster affected area but who cannot access all services provided by other federal disaster funding.

RUSH Recipients will complete a separate annual report to report exclusively on RUSH-funded projects, including data on persons served, and the RUSH funding expended during the reporting period. The report is similar to the ESG CAPER in Sage requiring individual project data collection and line-item financial reporting.

The date range of the report must be the recipients' normal program year. A RUSH Report will be completed in Sage and submitted to HUD for each program year during which the recipient carried out RUSH-funded activities . If funds remain at the end of the program year, the recipient must submit an annual report the next year to report any additional RUSH-funded activities carried out during that reporting period.

ESG Process Overview

An overview of the ESG process is as follows:

1. The recipient (city, county, state, or territory) who receives the funds from HUD allocates the ESG funding to subrecipients (either a unit of general-purpose local government or private nonprofit organization to which a recipient makes available ESG funds).

2. Organizations that receive a direct subaward of ESG funds from an ESG recipient are considered prime subrecipients. Any organization that receives a subaward of ESG funds from a prime subrecipient is a second-tier subrecipient or "sub-sub recipient". The organization that carries out an ESG-funded activity must enter data into a single project set up in the HMIS or comparable database system, consistent with the instructions in the ESG Program HMIS Manual.

3. Recipients are required to draw down and expend funds from each year's grant not less than once during each quarter of the recipient's program year. Subrecipients provide payment requests and supporting documentation to their ESG recipient on a regular basis, consistent with the recipient's and subrecipients' policies and procedures. Recipients must pay each subrecipient for allowable costs within 30 days after receiving the subrecipient's complete payment request. The recipient is required to report on all expenditures incurred during the program year in ***Sage*** as part of its CAPER submission.

4. Recipients are required to submit their CAPER report in ***Sage*** within 90 days after the close of its program year. The CAPER must include all ESG-funded activity carried out during the program year.

5. As part of the reporting process, ***Sage*** will send an email to subrecipients for each project funded. The email will contain a link for the subrecipient to use to upload their HMIS ESG CAPER report in a Comma Separated Value (CSV) format to ***Sage.*** Once uploaded, the CSV file will be attached to the recipient's CAPER report.

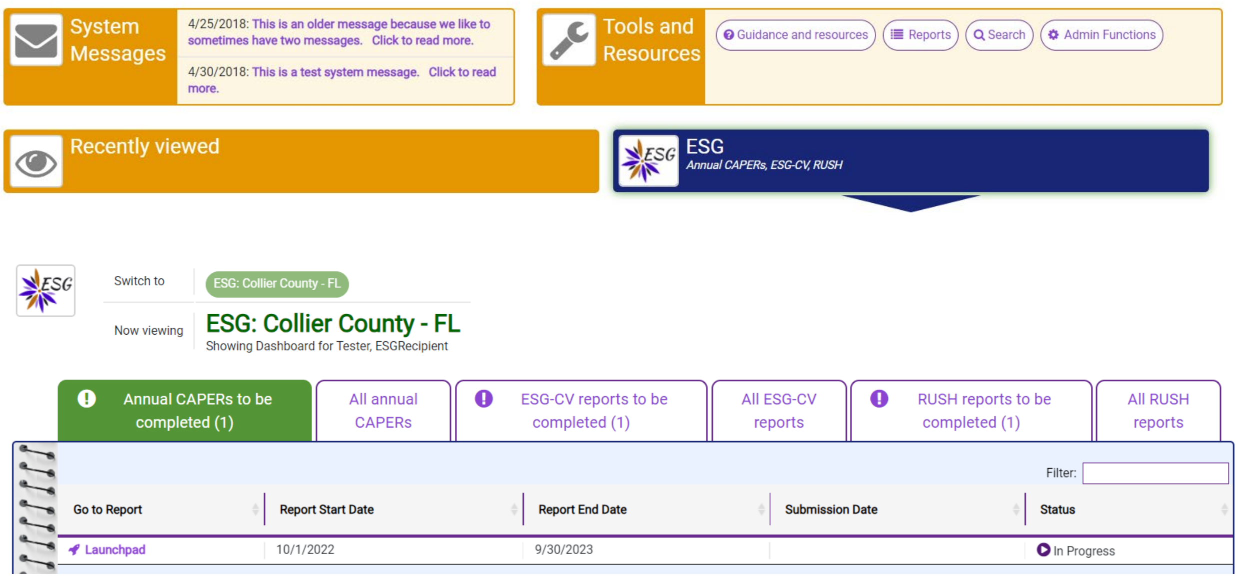
6. Recipients complete the full CAPER submission in ***Sage*** by:
    a. Completing all forms.
    b. Reviewing the CSV uploads from each submission ensuring the data transmitted is consistent with the number of persons expected to be served with ESG for each project.
    c. Having the financial information reviewed by the recipient's financial staff to ensure consistency with draws from the Integrated Disbursement and Information System (IDIS).
    d. Having the recipient's staff with Data Entry and Account Admin user level access **sign and submit** the CAPER to HUD.

Using *Sage*

HUD has created a separate Sage User Manual that contains all the information you need to know about how to use the ***Sage*** HMIS Reporting Repository system. The User manual is accessible through either the HUD Exchange or directly in ***Sage*** in the RESOURCES tab.

Every user of Sage has a unique customized “My Dashboard” that will open at log on. This dashboard contains the links to all the information in ***Sage*** that your user account allows you to access.
This Guidebook specifically focuses on the ESG CAPER in Sage.

Accessing a CAPER report



The ESG Dashboard, customized for each recipient, is the landing page recipients use to access their ESG CAPER information and submission in ***Sage***.

Click on the blue ESG quick connector box and a notebook will be available with all of the CAPERS. Every CAPER is filed in Sage by the jurisdiction’s name. In general, ESG users do not have access to multiple recipients, however, if you do then you will be able to switch between recipient using the green “Switch to” buttons.

The notebook has tabs for all of the ESG programs your jurisdiction is associated with:

- **“Annual CAPERS to be completed”** identifies CAPERS coming due, overdue, and submitted but not yet reviewed, and rejected. Scrolling down on this page provides a chart with all IDIS ESG Funding Awards and Draw information as well as a spending graph.
- **“All annual CAPERs”** stores all CAPERs in Sage since 2016. Recipients can open and review the information in any previous submission.
- **“ESG-CV Reports to be completed”** identifies the recipient’s most recent ESG-CV report as well as any ESG-CV reports that have been rejected and need to be resubmitted. Note: ESG-CV reports open in chronological order. A new report will not be available until the recipient submits the previous report. Scrolling down on this page provides information on ESG-CV

funding and draw information as well as a graph on funded vs drawn ESG-CV award funding to date.

- **“All ESG-CV reports”** stores all ESG-CV QPRs submitted to HUD during the ESG-CV funding period.
- **“RUSH reports to be completed”** is visible only if the recipient received RUSH funding. The annual RUSH report is available annually on the same schedule as the regular program year CAPER; QPRs are not required for RUSH grants.
- **“All RUSH reports”** stores previously submitted reports.

Reporting Status Definitions

All reports which appear in Sage are tagged with a Status. The status indicates the current state of the report.

- ***Not Started*** – indicates the report has not been opened and forms do not contain any saved data.
- ***In Progress***- indicates that at least one form contains saved data. The report will stay “In Progress” until the recipient submits it to HUD.
- ***Submitted*** – indicates that the recipient submitted the report to the HUD field office.
- ***Approved*** – indicates that the field office has reviewed the report submission and has found it complete and acceptable.
- ***Approved with Comment*** – indicates that the field office has reviewed the report submission and has found it acceptable but has made comments on the report which the recipient must take note of.
- ***Rejected*** – indicates that the field office has reviewed the report and has rejected it. There are errors or omissions on the report. Open the report itself and on the Notes section of the Launchpad the reviewer will have indicated the reason(s) for the rejection and the corrections necessary. Open the report to correct it and then resubmit it to HUD as soon as possible.

Note: a new CAPER may not be started until the prior one has been submitted to HUD. Sage will automatically generate the next CAPER during the overnight period following a submission.

Annual CAPER Report Forms

Submission Launchpad

To complete the CAPER in ***Sage***, click on the Launchpad link on the left side of the CAPER table (purple table) on the Dashboard. This will open the Submission Launchpad for the report. The Launchpad contains all the forms the recipient will need to report on for ESG to HUD.

Submission Launchpad

Submission Status 5/6/2023 Not Started VIEW

CAPER Instructions

Complete Instructions for each step is detailed in the ESG Caper Guidebook.

All reports where the program year begins in 2021 or later are required to complete the Project Outcome, the Financial Information, and the Sources of Match forms for the report.

Submission Steps	Date Last Information Recorded	Status	Work
Step 1: Dates		Missing	ADD
Step 2: Contact Information		Missing	ADD
Step 3: Projects, Links, and Uploads		You must complete Step 1 before you are able to add links	
Step 4: Grant Information		Missing	ADD
Step 5: Project Outcomes		Missing	ADD
Step 6: Financial Information		Missing	ADD
Step 7: Sources of Match		Please complete the Financial Information before adding Sources of Match	
Step 8: Program Income		Missing	ADD
Step 9: Additional Comments		Optional	ADD
Sign and Submit	5/6/2023	Not Started	

Throughout the forms in ***Sage,*** you will find **ADD**, **EDIT**, and **VIEW** links. These links each have a different function:

- **ADD** – enables you to complete a new form.
- **EDIT** – enables you to correct a mistake on a form or complete a form that you began but did not complete.
- **VIEW** – enables you to only VIEW the form. The VIEW function disables the ability to change the information on the form.

Step 1: Dates

Complete this form for ESG and RUSH

*Click **ADD** on the row of the Submission Launchpad for Step 1*

Program Year

The dates entered on the form are auto populated based on the previous reporting year. These dates must match the dates of the full CAPER submission submitted through the eCon Planning Suite. If the jurisdiction has changed the dates for their program year and notified HUD of that change as required under 24 CFR 91.10 , then the dates in ***Sage*** must be updated to reflect the new program year start and end dates. Once the dates have been saved on this form, all subrecipients will be required to submit project data for that date range.

The ESG-CAPER in ***Sage*** is due to HUD no later than 90 days after the end of the recipient's program year.

Subrecipient Upload Due Date

Enter the date that the recipient wants the ESG-CAPER CSV upload data completed by the subrecipient and submitted to the report. Allow at least two weeks for subrecipients to upload their data when possible.

Step 2: Contact Information

Complete this form for ESG and RUSH

*Click **ADD** on the row of the Submission Launchpad for Step 3*

The ***Contact Information*** form identifies the person that HUD will contact regarding the 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***.

All **bold** fields must be filled out. If you attempt to save the form without completing the required fields, ***Sage*** will identify the fields as missing information.

Step 3: Projects, Links, and Uploads

Complete this form for ESG and RUSH

What is a Project?

A project is an activity or group of activities funded under a single component to undertake a specific endeavor, such as serving a particular population or providing a particular resource. <u>List each project individually</u>. ESG CAPERS do not accept bundles of multiple projects in one upload.

Under the ESG program a recipient may fund projects* under the following ESG components:

- Street Outreach See 24 CFR 576.101.
- Emergency Shelter See 24 CFR 576.102.
- Homelessness Prevention See 24 CFR 576.103, 576.105, and 576.106
- Rapid Re-Housing See 24 CFR 576.104, 576.105, and 576.106

*Data Collection/HMIS (see 24 CFR 576.107) and Administration (see 24 CFR 576.108) are also eligible components but neither of them constitute a "project" for purposes of HMIS project set-up or reporting, and neither of these should be listed on the project list or have a CSV upload.

Please note: Coordinated Entry (CE) is an activity that may be funded under one of the components but not as a standalone activity since CE is not an ESG component. Therefore, eligible CE costs must be budgeted under the appropriate ESG activity. Any associated client reporting must be submitted under that component's project type in the HMIS. CE cannot be reported on as a standalone project in the CAPER. For more information on this topic, please refer to HUD Exchange document: "Carrying Out Coordinated Entry Activities Under the ESG Program".
Detailed guidance on project set-up for ESG can be found in the ESG Program – HMIS Manual. Detailed guidance for Victim Service Providers (VSP) can be found in the HMIS Comparable Database Manual. Recipients, HMIS Lead agencies, and VSPs are advised to review these manuals to better understand how projects must be set up in HMIS for the ESG Program and what data must be collected for the ESG CAPER report.

An example of a project is a shelter. A shelter (e.g. Shelter A for Men) may be funded under the Emergency Shelter component to provide Essential Services and Operations activities, but it is still one shelter and one project. On the ESG CAPER report the recipient would identify this shelter as one project.

A recipient may fund an agency to provide multiple Emergency Shelters under a single contract or by a single subrecipient. The subrecipient agency may have multiple different locations or types of shelters. For example, they may have a shelter for single individuals and a separate shelter for families. Each shelter is its own project, and each shelter must be individually identified in the ESG CAPER report.

Each component has a different target population it provides resources to. An Emergency Shelter serves literally homeless persons, Homelessness Prevention serves only persons at-risk of homelessness, Rapid Re-Housing serves persons leaving a literally homeless situation (streets or shelter) and rapidly puts them into a housing unit, and Street Outreach works to engage persons living on the streets or in other places unfit for human habitation. None of these populations is served in the same project. For example, Rapid Re-Housing and Homelessness Prevention are always 2 separate and unique projects.

Some recipients elect to contract with subrecipients for service in a date range other than the operating year. This may cause an organization to be under two separate contracts during the operating year. Regardless of the number of contracts a project has with the subrecipient to expend funding during the operating year, it is still one project on the project list.

Components, Activities and HMIS Project Types

Each component of ESG has a category(s) of activities allowable under statute and regulation. A project must be funded by a program component to provide specific allowable activities. The participants of that project must be reported on in the Homeless Management Information System (HMIS) unless they are being provided by a Victim Service Provider (VSP) who must then use a Comparable Database System.

Program Component	Allowable Activity	HMIS Project Type
Street Outreach	Essential Services	Street Outreach
Emergency Shelter	Essential Services Operations Renovation	Emergency Shelter – Entry/Exit Emergency Shelter – Night-by-Night Day Shelter* Transitional Housing**
Homelessness Prevention	Rental Housing Relocation and Stabilization Services – Financial Assistance Relocation and Stabilization Services - Services	Homelessness Prevention
Rapid Re-Housing	Rental Housing Relocation and Stabilization Services – Financial Assistance Relocation and Stabilization Services - Services	PH: Rapid Re-Housing

* HMIS Project Type: Day Shelter - Day Shelters are defined as projects that offer daytime facilities and services (no lodging) for persons who are experiencing homelessness.
** HMIS Project Type: Transitional Housing – There are some Transitional Housing projects that were funded under the Emergency Shelter Grants program in FY2010 or prior, which are permitted to continue operating as Transitional Housing under ESG funding. In such cases, accomplishments for these projects will be reported under "Emergency Shelter" for the CAPER but must continue to be identified within the HMIS as Project Type: Transitional Housing (2). If a transitional housing project received funds under a FY2010 Emergency Shelter Grants program and met the criteria under the former emergency shelter definition ("any facility, the primary purpose of which is to provide temporary or transitional shelter for the homeless in general or for specific populations of the homeless"), it would be eligible to continue to receive ESG funding under the Emergency Shelter component and does not have to have been continuously funded since FY2010 in order to receive ESG funding in a later fiscal year.

Please note: Coordinated Entry (CE) is an activity that may be funded under one of the components but not as a standalone activity since CE is not an ESG component. Therefore, eligible CE costs must be budgeted under the appropriate ESG activity. Any associated client reporting must be submitted under that component's project type in the HMIS. CE cannot be reported on as a standalone project. For more information on this topic, please refer to HUD Exchange document:
"Carrying Out Coordinated Entry Activities Under the ESG Program".

Who reports the HMIS data?

In the ESG program **the subrecipient or sub-subrecipient***, depending on which entity directly carries out the ESG-funded activity, reports the data directly into the recipient's CAPER report. The recipient sends out emails to its subrecipients via Sage that contains a link used to upload HMIS data generated in a CSV format. Only Victim Service Providers may use a system other than the HMIS and that system must be a Comparable Database System. All reports that are uploaded for the CAPER are generated in a CSV format consistent with the programming specifications provided annually to HMIS and Comparable Database vendors. The reports must follow exactly these specifications for successful upload in ***Sage***.

*Note that HMIS Leads were responsible for generating reports and uploading them quarterly in ***Sage*** for the ESG Program under the CARES Act (ESG-CV). That role for HMIS Leads is unique for ESG-CV reporting; subrecipients or sub-subrecipients remain responsible for reporting HMIS data for the annual

CAPER for ESG. Even in the case where an ESG recipient is also the HMIS Lead, the emails with the links for the report submission must still go out to subrecipients or sub-subrecipients to generate and upload in ***Sage***.

Setting Up Projects

*Click **ADD** on the row of the Submission Launchpad*

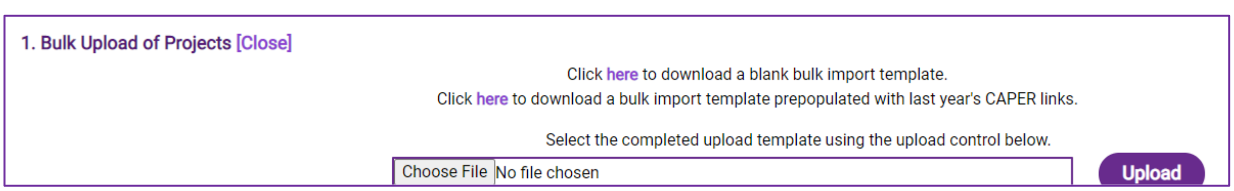
The CAPER submission in ***Sage*** must include each individual project that served clients and expended funding during the recipient's program year. Recipients that issued subrecipient grant agreements with different date ranges than the program year being reported will need to be sure that all projects active during the program year are reported.

To set up a project in Sage you will need the following information:

- The name of the organization, which is providing the service to the clients (this may be the subrecipient or the sub-subrecipient)
- The name of the project. Use a descriptive name that the subrecipient will recognize (e.g., "Main Street Shelter" versus "Emergency Shelter") to ensure you receive data for the specific project you intend to include in your CAPER submission If an agency runs multiple projects (i.e., separate projects are set up in HMIS) of the same project type, each project must be listed individually in ***Sage***.
- The ESG component that corresponds with the project. The choices are Emergency Shelter, Homelessness Prevention, Rapid Re-Housing, or Street Outreach. Refer to the Program Component/Allowable Activity/HMIS Project Type matrix on page 9 of the ESG Program HMIS Manual, which outlines how components, activities, and project types correspond with one another (*note: a component is an overarching ESG funding category under which activities, such as essential services, are organized. A single project set up in HMIS may involve more than one activity type carried out under a particular component. For example: a Day Shelter project, funded under the Emergency Shelter component, may involve both operating and essential services activity types).*
- The name of the person who is the contact for ESG reporting at the organization.
- The email address of the contact person (note: this is the person who will receive an email from ***Sage*** with a link to an upload portal for each project they are listed to provide data for).

Bulk Upload of Projects

The recipient may upload a list of projects into ***Sage***. There are two templates the recipient may elect to use which are downloadable from Sage:



- Create a list of subrecipients from scratch using the provided link: "Click **here** to download a blank bulk import template". The template contains the information and format required to upload the list of projects that received ESG funding. Complete the template with information about each project operated by all subrecipients.

- Generate a template that is auto populated with all the previous reporting period's projects and information using the provided link: "Click **here** to download a bulk import template prepopulated with last year's CAPER links". Carefully review the downloaded information and make the necessary updates (e.g., change contact info; add newly funded projects; clarify project names; delete projects).

After completing and saving the template on your computer, upload it to ***Sage*** by selecting **Browse or Choose…** to find and locate the template from your computer. When the name of the file appears, click "Upload". Each of the subrecipient contact persons appear in the Project List with information auto-populated from the Bulk Upload Template.

Individual Project Creation

The subrecipient individual project creation form may be used instead of the templates to create the project list in ***Sage*** or add a project that was left off the template.

Operating Dates	4/1/2021 through 3/31/2022	Organization Name	Organization Name
Project Name	Entity Name	ESG Component Type	
Contact Name	Contact Name	Contact Email	Contact Email
	Save	Clear	

The clear button clears all cells in the form for the recipient to begin again.

Project List

Organization Name	Project Name	ESG Component Type	Contact Name	Contact Email	Link Sent On	Upload Received On	Total Clients	Total Households	Action	View/Print

The Project List identifies all the projects for which the recipient needs to receive an ESG-CAPER CSV upload from its subrecipient(s).

Subrecipient identification – The organization name, project name, project type, contact name, and contact email identifies the information sent in the link to the subrecipient to allow them to identify which project they are required to generate an ESG CAPER CSV report for. The organization name, project name, HMIS project type, contact name and email are all placed on the list based on the template upload of the project data or the individual projects that were entered on this form.

1. **Link Sent On –** Is the date and time the link was sent to the subrecipient.

2. **Upload Received On –** Identifies the date and time the CSV upload was received in ***Sage*** from the subrecipient to the CAPER via the link.

3. **Total Clients / Total Households Data–** When the link is uploaded, the total number of clients and total number of households as reported in the CSV upload are visible in those columns. The information in Total Clients and Total Households must be reviewed by the Recipient. If the total number of clients and households reflected in the table appear to be significantly greater or fewer in number than what the recipient would reasonably expect based on the level of ESG funding, the ESG recipient should follow up with the subrecipient to: 1) ensure that the data being reported is accurate; and 2) address potential performance or funding issues if the reported data accurately

reflects the subrecipient's performance. There must be a number greater than "0" in both columns for the CSV to have been generated and uploaded correctly.

4. **ACTION –** The Action column has three actions that are available to the user for the project:
   a. **VIEW** provides the recipient a way to see the link that their subrecipient received.
   b. **EDIT** enables the recipient to open the project form and make corrections to the organization name, project name, project type, contact name, or contact email. It also allows the recipient to resend the email with the information to the subrecipient again.
   c. **DELETE** will delete the entire project from the report. Once the email for the project has been sent out the words change to **DELETE LINK AND UPLOAD**. This enables a recipient to delete an upload that is incorrect. If a project is deleted because of an upload error, the recipient should re-enter the information on the project and send the link out via the Individual Project Creation again.

5. **VIEW/PRINT –** When a CSV is submitted the VIEW/PRINT functionality becomes enabled for that specific CSV upload.
   a. **Just Q4 and Q5 –** Opens only the information contained in Question 4 and Question 5 of the CSV upload. Question 4 identifies the organization name, project name, and project type that was submitted in the CSV. If there is any reason to believe that the CSV received is not the correct CSV for the submission, use this link to look at what project the report was generated from. Question 5 is the validation table for the entire CSV upload and will, immediately, provide the recipient with summary information regarding the submission. All tables in the CAPER are validated to this data upon upload of the CSV.
   b. **ENTIRE CSV –** Opens the entire HMIS ESG CAPER report that was submitted by the subrecipient for this project.

SEND Emails with the Links

After reviewing the projects, the recipient sends emails with the subrecipient project links to its subrecipients via Sage. On the Project List section there is a "Send All Unsent Links" button flashing if there are projects with links that have not been sent out yet Click this button to have ***Sage*** immediately email out a request for an upload to all people on the list where the "Link Sent On" date field is blank.

If a subrecipient says they did not receive the email and their email address is correctly entered in ***Sage***, instruct the subrecipient to check their email JUNK folder. The email is sent from the Sage@Sagehmis.info email address. If the email is in the JUNK folder, the subrecipient should move the email to their "in-box" and identify "Sage@Sagehmis.info" as a safe sender in their email system. If it is not there, the contact person should reach out directly to the person who manages their email server to have them identify "Sage@Sagehmis.info" as a safe email to accept. It is critical for reporting that the person identified as the subrecipient contact person is able to receive emails from Sage.

If it is necessary for the recipient to provide the link to the subrecipient through an email outside of the Sage system, the recipient may use the **VIEW** action on the row of the applicable project. The recipient may copy the link and email it to the subrecipient who is unable to find the email from ***Sage***. Subrecipients must upload each project individually through its own link; there are no CSV bundle uploads accepted for annual ESG CAPER reporting. If a subrecipient did not receive the link email(s) for more than one project, the recipient must provide a link using the **VIEW** action for each project.

If there is an error in the project information of any project, use the DELETE function and then re-enter the project in the Individual Project Creation section again. Then click “Send All Unsent Links” again to send the subrecipient a new email with a new link.

Victim Service Provider Project Reporting

Statute and regulations require ESG Recipients who have funded Victim Service Providers (VSPs) ensure that client level data is collected in a comparable database system. A comparable database system is a system that collects all of the required data elements for a project as defined in the HMIS Data Dictionary, can generate the ESG CAPER report in accordance with the programming specifications and in the required CSV format, and complies with privacy and security standards as outlined by VAWA. Recipients should ensure that the VSPs who are new subrecipients are using comparable database system, collecting program level data, and able to generate the CAPER CSV report.

If a VSP subrecipient notifies the recipient that they are not in compliance with the HMIS/comparable database requirements, the ESG Recipient must inform HUD via Ask-A-Question (AAQ) portal on the HUD Exchange, selecting ***Sage*** in Step 2. The helpdesk will send the recipient a form for the VSP to complete, identifying their plan and timeline for securing a comparable database system that will collect the required HMIS information and generate the CAPER report in a CSV format.

Either the VSP or recipient must submit the compliance plan directly to HUD’s Office of Special Needs Assistance Programs (SNAPS) and to the recipient’s Field Office Director for review. Once HUD approves the plan, the VSP will be provided an “exception template” for the current CAPER reporting period. The template contains the same information that is generated in the CSV file. The VSP must manually fill out the template completely and accurately before loading it to the Sage email like to upload to the CAPER in Sage in lieu of the CSV upload. The VSP is expected to comply with all reporting requirements by the next reporting period. Failure to adhere to HUD data collection requirements within the timeline established in the compliance plan may result in HUD taking further remedial actions and sanctions under 24 CFR 576.501.

HUD will only issue an “exception template” in ***Sage*** after the written compliance plan is received and reviewed by the field office and SNAPS staff.

Project Participation Reporting

Sage summarizes the number of projects, total persons served and total households served by component type using the information on the Project List and in the CSV uploads for the reporting period. This table is on the top of the Projects page.

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

Components	Projects	Total Persons Reported	Total Households Reported
Emergency Shelter	8	3,039	2,465
Day Shelter	1	2,740	2,681
Transitional Housing	0	0	0
Total Emergency Shelter Component	9	5,779	5,146
Total Street Outreach	3	1,772	1,764
Total PH - Rapid Re-Housing	8	464	266
Total Homelessness Prevention	3	686	483

Step 4: Grant Information

Complete this form for ESG and RUSH

*Click **ADD** on the row of the Submission Launchpad for Step 4*

Emergency Shelter Rehab/Conversion

Report the specific number of beds and units created, if any, for Emergency Shelters using the ESG – Emergency Shelter component Project Rehab Activity Funding or Project Conversion Activity Funding. If you did not rehab or convert an Emergency Shelter enter "no" in each box. If you did do rehab or conversion enter "yes" in the appropriate box and indicate the number of beds and units created.

NOTE: Projects with ESG funding for rehab or conversion activities must be maintained as a shelter for a period of not less than 3 or 10 years (see to 24 CFR part 576.102 for detail). Recipients must continue to report on these projects throughout the minimum period of use, including them in the project list even if the project no longer receives ESG funding for emergency shelter activities, such as essential services or shelter operations.

Data Participation Information

Participation in HMIS or a comparable database system for VSP is required of all project providers. Report "yes" or "no" to the prompt: "Are there any funded projects, except HMIS or Admin, which are not listed on the Project, Links and Upload form?"

- Answer "no" if all projects that were funded during the program year are listed in ***Sage*** as a project.
- If the answer is "yes" (i.e., there are projects that were not identified on the Project page), then the recipient must identify how many of the missing projects were required to be in the HMIS and how many were required to be in a comparable database because they are operated by a VSP.

If a project was not listed on the project page the recipient must explain in a narrative why that project was not listed and reported on.

RUSH Outcome Information

Outcome measures for RUSH are fulfilled by completing the Grant Information form in their report. On that form the recipient is to provide a brief description of what was accomplished using the RUSH funding. If any shelter beds or units were created the recipient should also identify the number of beds and the type of shelter which were created.

Step 5: Project Outcomes

Complete this form for ESG

*Click **ADD** on the row of the Submission Launchpad for Step 5*

Beginning with submission for program year 2021 this form replaces the narrative on screen CR-70 of the eCon Planning Suite. The recipient must report on project outcome data measured under the performance standards developed in consultation with the CoC(s). Recipients have the discretion to choose the format in which to report this data; however, recipients' project outcomes must correlate with the performance standards identified in their Action Plan on screen AP-90.

Copy the response to the question, **"Describe performance standards for evaluating ESG"** from screen AP-90 of the Action Plan for the applicable reporting period to the Project Outcomes screen in ***Sage***. You may retype it or copy/paste it from the Action Plan. There is a limit of 2500 characters in the text box, please abbreviate the response previously submitted in the Action Plan if necessary.

Questions 1 and 2 in ***Sage*** ask the recipient to identify how the performance standards were met and, if some were not met, to identify why they were not met.

HUD understands that this is the first time for reporting on the measures this way and that not all recipients have articulated measures in the Action Plan that are "measurable". Therefore, there is an option in ***Sage*** to answer question 3 instead of 1 and 2. Question 3 asks if your standards were not written as measurable, provide a sample of what you will change them to in the future. Measurable performance standards can be based on the CAPER CSV upload data which will also then provide the vehicle for future measurement. Some examples are:

- Reduce the length of stay in emergency shelters to 180 days or less for all residents. (Measured by Q22d)
- Reduce the Average length of time between the time a client applied for RRH housing (project start date) to the time they moved into housing (housing move in date) by 3 days. (Measured by Q22c)
- Increase the percentage of persons sheltered who moved to a positive housing destination to X% (Measured by Q23)
- Decrease the number of persons with "information missing" for personally identifying information data to less than 2% of participants across all shelter and RRH projects.

Tip: Use the CAPER Aggregator in ***Sage*** to use the CAPER information uploaded from the HMIS and comparable databases as a tool for data review in preparation for writing or responding to performance standards measurement.

By using their own measurable performance standards to evaluate outcomes, recipients have an opportunity to identify areas that need improvement, such as project performance and data quality. When creating new standards consider whether the amount of ESG funds awarded to subrecipients is sufficient to accomplish the established measures (e.g., subrecipients may need additional funding for HMIS training in order to improve their data quality; to reduce the length of stays in shelters or the time it takes for program participants to access housing may require subrecipients to redefine staff roles or increasing staff).

Step 6: Financial Information

*Click **ADD** on the row of the Submission Launchpad for Step 6*

Beginning with program year 2021, recipients report financial information in ***Sage***, replacing screens CR-70 and CR-75 in the eCon Planning Suite. Use this form to report all expenditures on ESG that occurred during the program year. Do not include any financial information for ESG-CV or RUSH grants on this form.

Recipients report similar financial information on their annual ESG and RUSH grants but on slightly different forms. Follow the instructions in the ESG CAPER Financial Reporting section for annual ESG and follow the instructions in the RUSH Financial Reporting section for RUSH.

ESG CAPER Financial Reporting

Complete this form for ESG

This financial report is based on expenditures of funds. Expenditures include all expenses, intended to be paid with ESG funding, incurred by the recipient and/or subrecipient(s) through the end of the program year. Expenditures are to be reported regardless of whether the recipient has paid the invoice or drawn the funding from IDIS. However, HUD expects that for annual ESG reporting the recipient has made every effort to close out the program year, pay for all expenditures, and draw down the funds to the extent possible. The recipient is required to draw quarterly from IDIS.

On the top of the financial information form, there is a chart with the funding that was available to the community from FY2016 to the current fiscal year. The information for the chart comes directly from IDIS and is updated weekly. The date of update is seen on the top of the chart.

ESG Information from IDIS

As of 8/20/2021

FY	Grant Number	Current Authorized Amount	Funds Committed By Recipient	Funds Drawn	Balance Remaining	Obligation Date	Expenditure Deadline

The recipient will report on all expenditures incurred during the program year that have been or will be reimbursed with ESG funding by both the funding year and the component/activity.

Expenditures	☐ 2023	☐ 2022	☐ 2021	☐ 2020	☐ 2019	☐ 2018	☐ 2017	☐ 2016

Begin by checking the funding year of the ESG awards used for the current operating year of this ESG CAPER report. The year(s) correspond to the fiscal years the funds were awarded. Once the year(s) are selected, ***Sage*** will open cells for all Components and Eligible Activities for the year selected.

Expenditures	☑ 2022	☑ 2021	☑ 2020		☐ 2019	☐ 2018	☐ 2017	☐ 2016	☐ 2015
	FY2022 Annual ESG Funds for	FY2021 Annual ESG Funds for	FY2020 Annual ESG Funds for						
Homelessness Prevention	Non-COVID	Non-COVID	Non-COVID	COVID					
Rental Assistance									
Relocation and Stabilization Services - Financial Assistance									
Relocation and Stabilization Services - Services									
Hazard Pay *(unique activity)*									

There is one column to report ESG expenditures for 2021 and there are two columns for each year from 2020 to 2016 used to report on annual ESG funding (i.e., not ESG-CV).

- The first column labeled "Non-COVID" is for all **annual ESG** funding expenditures that were not designated for COVID response. These fields are bold boxes and represent the amount of ESG funding that was used on activities that were not identified by the recipient as being used to prevent, prepare for, and respond to coronavirus (i.e., the recipient did not meet the criteria in Section IV of the ESG-CV Notice (Notice CPD-21-08) for those activities).
- The ESG-CV Notice provides that the ESG-CV waivers and flexibilities are applicable to annual ESG funding (FY 2020 and older) subject to the conditions in Section IV of the Notice. One of those conditions is that the recipient must report the amount of annual ESG funds expended to prevent, prepare for, and respond to coronavirus in the CAPER by component type for each annual grant. Place the dollar amount of annual ESG funds (FY 2020 and older) used for COVID in the **COVID** column. ***Note – the recipient must not include any ESG-CV dollars in this reporting.***

Together, the ESG funds (non-COVID) plus the annual ESG funds used for COVID response should equal the total dollars expended under that particular annual ESG grant during the reporting period.

Please refer to the ESG Regulations for information on eligible activities.

RUSH Financial Reporting

Complete this form for RUSH

If the recipient receives a RUSH grant, they must complete the line item form following the ESG CAPER information in this guide. There are two differences in financial reporting for RUSH from annual ESG:

1. There is no match requirement and therefore there are no match reporting lines or form in Sage.
2. RUSH is being treated as one grant without regard to the program year when the funds were awarded. The total expenditures in the final report on RUSH must balance with the amount drawn from IDIS.

Step 7: Sources of Match

*Click **ADD** on the row of the Submission Launchpad for Step 7*

Complete this form for ESG

*Click **ADD** on the row of the Submission Launchpad for Step 7*

On the top of the “**Sources of Match**” form the table brings over the information entered by the recipient on the Financial Information form showing the of all expenditures, the total of just the expenditures used for COVID response activities and the difference between the two. There is no match required for funds used for COVID response, so the difference is the amount of expenditures which require a match.

Enter all sources of match in the table. For more information on eligible sources of match see the HUD Exchange frequently asked question (FAQ) #1086:
[“What sources of funds can be used as cash match for ESG?”]

The bottom chart shows the amount of match which was reported on the Financial Information form. The total itemized match on the Sources of Match table must match the total entered on the Financial Information form.

	FY2021	FY2020	FY2019	FY2018	FY2017	FY2016	FY2015
Total regular ESG plus COVID expenditures brought forward	$1.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
Total ESG used for COVID brought forward	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
Total ESG used for regular expenses which requires a match	$1.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
Match numbers from financial form	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00
Match Percentage	0.00%	0%	0%	0%	0%	0%	0%

Match Source	FY2021	FY2020	FY2019	FY2018	FY2017	FY2016	FY2015
Other Non-ESG HUD Funds							
Other Federal Funds							
State Government							
Local Government							
Private Funds							
Other							
Fees							
Program Income							
Total Cash Match	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Non Cash Match							
Total Match	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Step 8: Program Income

Complete this form for ESG and RUSH

Program Income is the gross income earned by the recipient or subrecipient directly generated by a grant-supported activity or earned as a result of the ESG award during the period of performance. Some examples include income from fees for services performed and rent and occupancy charges paid directly to the recipient or subrecipient by program participants. Rent funds received are considered to be program income.

- **<u>For annual ESG Grants</u>**: Costs paid by program income generated from **annual ESG grants** must count towards meeting the recipient's matching requirements, provided the costs are eligible ESG costs that supplement the recipient's ESG program.

- **<u>For RUSH Grants</u>**: Because RUSH funds are not subject to 24 CFR 576.201 or other match requirements, program income generated from RUSH grants may be treated by the recipient as:

    - an addition to the recipient's RUSH grant (or the subrecipient's subgrant, if the income is generated by the subrecipient's activities), provided that the program income is used in accordance with the purposes and conditions of that grant or subgrant; or
    - a deduction from allowable costs as provided by 2 CFR 200.307(e)(1). The program income definition in 24 CFR 576.2 will apply, except that costs that are incidental to generating program income and not charged to the RUSH grant or subgrant may be deducted from gross income to determine program income, as allowed under 2 CFR 200.307(b).

If program income was received answer "yes" to the question "did the recipient earn program income from any ESG project during the operating year?" Then in a brief narrative describe where the program income was generated from and complete the following financial information:

- Total federal program income earned
- Expenditures
    - Program income expended and counted as match (for annual ESG only)
    - Program income expended in accordance with the deduction alternative (for RUSH only)
    - Program income expended in accordance with the addition alternative (for RUSH only)
    - Unexpended program income (for annual ESG or RUSH)

Step 9: Additional Comments

The ESG recipient may use this text box to inform HUD of any information the recipient feels is needed for the CAPER review.

Should the HUD review find that they cannot accept the CAPER submission, they will "reject" the report and send it back to the recipient's dashboard. Any explanation required by HUD to resubmit due to the rejection should be entered in this form. Should the recipient require additional space for an explanation, they will need to email their CPD Field Office Representative directly.

Sign and Submit

Click the **SUBMIT** button on the "**Sign and Submit**" row to open the submission tab.

CAPER Instructions

Complete Instructions for each step is detailed in the ESG Caper Guidebook.

Submission Steps	Date Last Information Recorded	Status	Work
Step 1: Program Year Dates	3/9/2021	✔ 1/1/2020 - 12/31/2020, Due 3/11/2021	EDIT
Step 2: Projects, Links, and Uploads View all links and CSV uploads together - click "VIEW" to the right.	3/10/2021	✔ 0 unsent, 7 sent, 7 submissions	VIEW / EDIT
Step 3: Contact Information	3/22/2021	✔ Completed	VIEW EDIT
Step 4: Grant Information	3/22/2021	✔ Completed	VIEW EDIT
Step 5: Project Outcomes		Optional	ADD
Step 6: Financial Information	11/3/2021	✔ Completed	VIEW EDIT
Step 7: Sources of Match		Optional	ADD
Step 8: Sign and Submit	3/9/2021	In Progress All required forms are complete A Data Entry/Account Admin Sage User must now click the SUBMIT button to send this to HUD.	VIEW / PRINT CAPER Report SUBMIT

If the CAPER is complete and able to be submitted this message appears:

All required forms are complete

A Data Entry/Account Admin Sage User must now click the **SUBMIT** button to send this to HUD.

Important Note: Only ESG recipient staff with a user level of Data Entry and Account Admin may submit.

Date 11/4/2021

Set Status to Submitted

These users will be notifed when this CAPER is submitted, accepted or rejected

Contact Type	First Name	Last Name	Email
Specified on Contact Information	First	Last	email@email.com
HUD Field Office	HUD Field Office - Atlanta		

If you're submitting now, you'll also get notified at mbudzek@partnershipcenter.net.

Only the Authorized Official or Designee from the organization who is the Recipient of funding may sign and submit this report to HUD.

Name of Submitter

Title/Position

By pressing Save on this Form you are submitting all the information contained in this ESG CAPER Report to the HUD Field Office.

Submission notes

The contact information identifies the person who was named as the contact in Step 3 of the report. Only an official authorized by the recipient's jurisdiction to report to HUD or their designee may submit the report to HUD. By placing the name of the submitter and the title/position, you are verifying that the person logged into ***Sage*** is the Authorized Official or Designee submitting this report.

The recipient signs the submission by entering their name and title/position. A text box is available for the recipient to send a note to the field office as needed.

Generating a Report of the Submission

There are several reports which can be generated on the CAPER.

Using the VIEW/PRINT COMPLETE CAPER link on the "**Sign and Submit**" row in ***Sage*** generates a report that will show everything entered on every form in the report and will give a summary chart of the CSV Uploads showing, by component, the total number of projects, and the number of persons and households in the uploads by component.

Recipients may also want **information contained in the CSV uploads**. There are two reports on the recipient dashboard that will provide this information:

CAPER DATA

CAPER Aggregator 2.0

CAPER Aggregator Unsubmitted 2.0

Both will provide information contained in the CSV uploads in the report table shell format. The difference between the two reports is simply that the **CAPER Aggregator unsubmitted** report is able to be generated prior to submitting it to HUD to be used if a community needs that as part of their public review.

These reports may also be run in Detailed View which is useful for recipients to identify individual project performance.

All reports have specific reporting criteria that will query specific data in a report. Setting the criteria correctly is critical to generating the information needed.

To set report criteria:

1. Select a year -- "Year" means the year of the start date for the submission.
2. Select an ESG Recipient.
3. Select one or more of the Project Types to generate in the report. For example, to run the detail for everyone reported in the Emergency Shelter component, select Day Shelter, Emergency Shelter and Transitional Housing while holding down the CTRL key on the keyboard. Selecting "all" will aggregate the entire report across all project types.
4. Select one or more of the questions. For example, if the report is just to know how many persons and households were served, select Q07a and Q08a while holding down the CTRL key. Selecting "all sections" will run the entire report for the project types identified in step 3.

All reports may be "Viewed here" meaning viewed on-screen, downloaded as an Excel file, emailed, or printed.

If a report is generated and another needs to be generated, click "clear all filters" first to clear out the cached information.

ESG CAPER Report Questions

Question	Question Name	ES & TH	Street Outreach	RRH	HP
Q04a	Project Identifiers in HMIS	x	x	x	x
Q05a	Report Validations Table	x	x	x	x
Q06a	Data Quality: Personally Identifiable Information	x	*	x	x
Q06b	Data Quality: Universal Data Elements	x	*	x	x
Q06c	Data Quality: Income and Housing Data Quality	x	*	x	x
Q06d	Data Quality: Chronic Homelessness	x	*	x	x
Q06e	Data Quality: Timeliness	x	*	x	x
Q06f	Data Quality: Inactive Records: Street Outreach and Emergency Shelter	**	*		
Q07a	Number of Persons Served	x	x	x	x
Q07b	Point-in-Time Count of Persons on the Last Wednesday	x	x	x	x
Q08a	Number of Households Served	x	x	x	x
Q08b	Point-in-Time Count of Households on the Last Wednesday	x	x	x	x
Q09a	Number of Persons Contacted	**	x		
Q09b	Number of Persons Newly Engaged	**	x		
Q11	Age	x	x	x	x
Q12	Race and Ethnicity	x	x	x	x
Q13a1	Physical and Mental Health Conditions at Start	x	x	x	x
Q13b1	Physical and Mental Health Conditions at Exit	x	x	x	x
Q13c1	Physical and Mental Health Conditions for Stayers	x	x	x	x
Q14a	History of Domestic Violence Sexual Assault, Dating Violence, Stalking, or Human Trafficking	x	x	x	x
Q14b	Most recent experience of domestic violence, sexual assault, dating violence, stalking, or human trafficking	x	x	x	x
Q15	Living Situation	x	x	x	x
Q16	Cash Income - Ranges	x	x	x	x
Q17	Cash Income - Sources	x	x	x	x
Q19b	Disabling Conditions and Income for Adults at Exit	x	x	x	x
Q20a	Type of Non-Cash Benefit Sources	x	x	x	x
Q21	Health Insurance	x	x	x	x
Q22a2	Length of Participation - ESG Projects	x	x	x	x
Q22c	Length of Time between Project Start Date and Housing Move-in Date			x	
Q22d	Length of Participation by Household Type	x	x	x	x
Q22e	Length of Time Prior to Housing - based on 3.917 Date Homelessness Started	x*	x	x	
Q22f	Length of Time between Project Start Date and Housing Move-in Date by Race and Ethnicity			x	
Q22g	Length of Time Prior to Housing by Race and Ethnicity - based on 3.917 Date Homelessness Started	x*	x	x	
Q23c	Exit Destination	x	x	x	x
Q23d	Exit Destination – Subsidy Type of Persons Exiting to Rental by Client With An Ongoing Subsidy	x	x	x	

Question	Question Name	ES & TH	Street Outreach	RRH	HP
Q23e	Exit Destination Type by Race and Ethnicity	x	x	x	x
Q24a	Homelessness Prevention Housing Assessment at Exit				x
Q24d	Language of Persons Requiring Translation Assistance	x	x	x	x
Q25a	Number of Veterans	x	x	x	x
Q26b	Number of Chronically Homeless Persons by Household	x	x	x	x

* Data quality for Street Outreach begins at Engagement Date
** Night-by-night Shelters only

This material is based upon work supported, in whole or in part, by Federal award number H-20-NP-OH-0002 awarded to The Partnership center, Ltd by the U.S. Department of Housing and Urban Development. The substance and findings of the work are dedicated to the public. Neither the United States Government, nor any of its employees, makes any warranty, express or implied, or assumes any legal liability or responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately-owned rights. Reference herein to any individuals, agencies, companies, products, process, services, service by trade name, trademark, manufacturer, or otherwise does not constitute or imply an endorsement, recommendation, or favoring by the author(s), contributor(s), the U.S. Government or any agency thereof. Opinions contained herein are those of the author(s) and do not necessarily reflect the official position of, or a position that is endorsed by, HUD or any Federal agency.