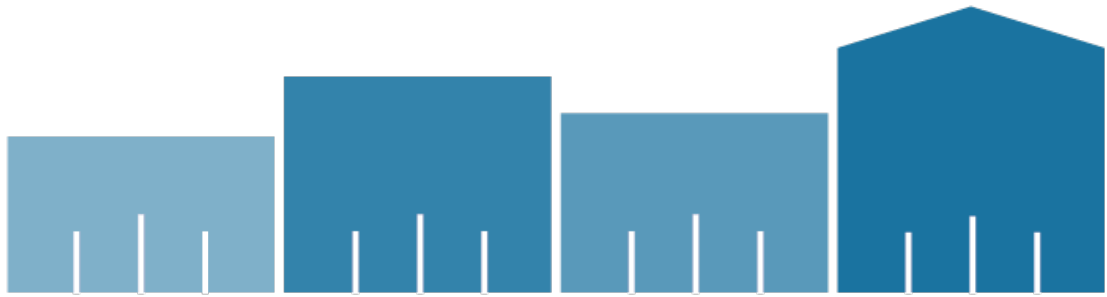


How to Run & How to Read the ESG CAPER in HMIS



Institute for Community Alliances

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ESG CAPER REPORT GUIDE

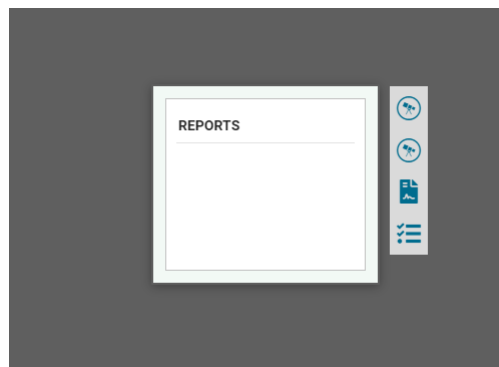
PURPOSE

This guide serves as a manual on how to run the Emergency Solutions Grants (ESG) Consolidated Annual Performance and Evaluation Report (CAPER) in ClientTrack and how to interpret the report and its findings.

HUD /HMIS REPORTS

To login, use the Workgroup “GA HMIS: HMIS Programs” and Organization users “HOME Organization”.

Go to “Reports” workspace



ESG CAPER REPORT



REPORT SETTINGS

- 1) You can save report settings to run later. Select “Save Settings” and input a name for your saved parameters. They will appear after the report run.
- 2) Enter the Date Range or select from the “Date Range List”
- 3) The organization will auto-fill based on the organization the user is logged in as.
- 4) Filter by Grant Program if report results should reflect specific grants
- 5) Filter by grants (if applicable).
- 6) Filter by Program Type or select the program(s) to include in the report, using the scroll option.
- 7) Run Export

Saved Report Settings

To use previously saved report settings, select the desired settings description. To save the current report settings, select Save Settings, type a description of the settings in the Save As field, select the report criteria, and run the report. The saved settings will appear in the list the next time you access this screen.

Saved Report Settings:

Save Settings ▼

Save As *

My Training Org ESG CA

Date Range

Indicate the time period for this report. Only records that fall within the date range you select will be included.

Date Range List:

Since This Date, Last Year ▼

Begin Date:

08/25/2019

 to

08/25/2020

Organization

Indicate which organizations should be included in the report by selecting each organization separately, or click the ☒ icon to select all. *Note: The list only shows organizations you are authorized to view. Only enrollments created by the Organizations selected here will be included in the export.*

Organization: *

☒ ATL-CE Sandbox

☐ City of Atlanta CoC

☒ My Training Organization

☐ Non-Congregate Coordinated Response

☒

Grant Program

Use the Grant Program and Grant Component drop down selections to narrow down the list of Grants.

Grant Program:

HUD: ESG (Emergency Solutions Grant) ▼

Grant Component:

Emergency Shelter (operating and/or essential services) ▼

Grant(s)

This list displays grants that belong to the organizations you selected above. Indicate which grants should be included in the report by selecting each grant separately, or click the ☒ icon to select all. Use the Grants filter to narrow down the list of projects for your export.

Grant(s): ☐ Filter by Grant(s)

Program

A list of programs based on the grant selected.

Program Type: ☐ Filter by Program Type

* ☒ Filter by Program

Program: *

☐ PATH Unsheltered (SO-500)

☐ PSH_GHFA

☐ ROI Check Program

☐ Test SSVF Project

☒ Training Test Project

☐ VASH Voucher

☒

Validation File

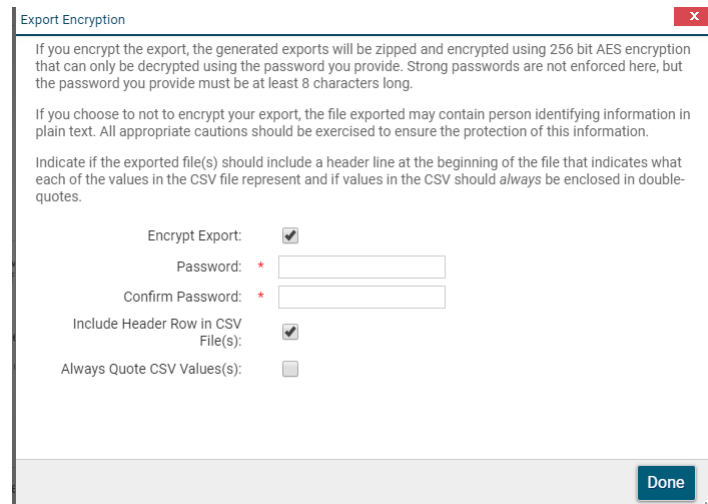
Checking this box will generate a separate task to generate a validation file once the file export task has completed. This will not affect the running of or delay the main export.

Generate Validation File: ☐

EXPORTING THE REPORT

Option 1: Encrypt Export

Choose a password that is NOT your HMIS Password (this may be exposed in the database)



Export Encryption

If you encrypt the export, the generated exports will be zipped and encrypted using 256 bit AES encryption that can only be decrypted using the password you provide. Strong passwords are not enforced here, but the password you provide must be at least 8 characters long.

If you choose to not to encrypt your export, the file exported may contain person identifying information in plain text. All appropriate cautions should be exercised to ensure the protection of this information.

Indicate if the exported file(s) should include a header line at the beginning of the file that indicates what each of the values in the CSV file represent and if values in the CSV should always be enclosed in double-quotes.

Encrypt Export: ☒

Password: *

Confirm Password: *

Include Header Row in CSV File(s): ☒

Always Quote CSV Values(s): ☐

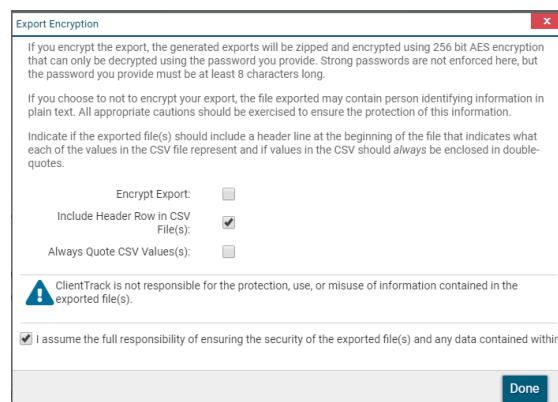
Done

Option 2: Uncheck Encrypt Export

Mask SSN when choosing the Run Export option.

SSN Masking: XXX-XX-XXXX

Select: “I assume the full responsibility of ensuring the security of the exported file(s) and my data contained within”. **This means you must make efforts to protect the data on your PC. Never email reports with PII without protecting the data.**



Export Encryption

If you encrypt the export, the generated exports will be zipped and encrypted using 256 bit AES encryption that can only be decrypted using the password you provide. Strong passwords are not enforced here, but the password you provide must be at least 8 characters long.

If you choose to not to encrypt your export, the file exported may contain person identifying information in plain text. All appropriate cautions should be exercised to ensure the protection of this information.

Indicate if the exported file(s) should include a header line at the beginning of the file that indicates what each of the values in the CSV file represent and if values in the CSV should always be enclosed in double-quotes.

Encrypt Export: ☐

Include Header Row in CSV File(s): ☒

Always Quote CSV Values(s): ☐

ClientTrack is not responsible for the protection, use, or misuse of information contained in the exported file(s).

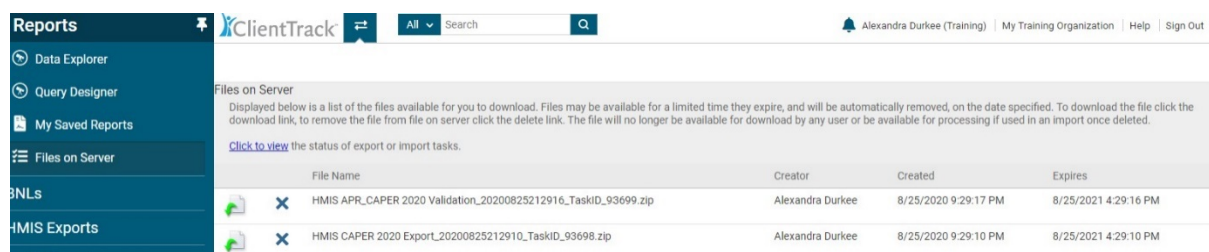
☒ I assume the full responsibility of ensuring the security of the exported file(s) and any data contained within

Done

DOWNLOADING THE REPORT

Navigate to “Files on Server”

A list of your report exports will appear. (Use click to view status if you don’t see your report)





















File Name	Creator	Created	Expires
HMIS APR_CAPER 2020 Validation_20200825212916_TaskID_93699.zip	Alexandra Durkee	8/25/2020 9:29:17 PM	8/25/2021 4:29:16 PM
HMIS CAPER 2020 Export_20200825212910_TaskID_93698.zip	Alexandra Durkee	8/25/2020 9:29:10 PM	8/25/2021 4:29:10 PM

Choose the report file name from the list once the report run has completed.

The report appears as a “Compressed(zipped)” file in your downloads.

This PC > Downloads > HMIS CAPER 2020 Export_20200825212910_TaskID_93698

<input type="checkbox"/> Name	Type
 Q4a	Microsoft Excel Comma Sepa...
 Q5a	Microsoft Excel Comma Sepa...
 Q6a	Microsoft Excel Comma Sepa...
 Q6b	Microsoft Excel Comma Sepa...
 Q6c	Microsoft Excel Comma Sepa...
 Q6d	Microsoft Excel Comma Sepa...
 Q6e	Microsoft Excel Comma Sepa...
 Q6f	Microsoft Excel Comma Sepa...
 Q7a	Microsoft Excel Comma Sepa...
 Q8a	Microsoft Excel Comma Sepa...
 Q8b	Microsoft Excel Comma Sepa...
 Q9a	Microsoft Excel Comma Sepa...
 Q9b	Microsoft Excel Comma Sepa...
 Q10a	Microsoft Excel Comma Sepa...
 Q10b	Microsoft Excel Comma Sepa...
 Q10c	Microsoft Excel Comma Sepa...
<input type="checkbox"/>  Q10d	Microsoft Excel Comma Sepa...
 Q11	Microsoft Excel Comma Sepa...

There are 39 report documents included as CSV files for the HMIS ESG CAPER Report. Open (and save a copy of) the folder with the files.

Tip: Include Report Name, Project names and Report Dates to organize your files!

HUD RESOURCES

[HUD HMIS Reporting Glossary](#)- Contains details on how error messages are calculated.

[HUD Data Quality Report Handout](#)- Contains details on how to run the HUD Data Quality Report in ClientTrack; and how to filter the HUD Data Quality Report in Excel to find and manage data quality issues.

[HMIS Programming Specifications](#)- Contains details on required data to be collected in order to remain within HUD guidelines when submitting ESG – CAPER and CoC – APR to Sage.

[ESG CAPER Guide](#)- Contains FAQ's and step by step guide on how to submit ESG CAPER using Sage.

HOW TO READ THE ESG CAPER- FOR DATA QUALITY

Agencies must review the report for data quality, and update HMIS with accurate information. Corrected data will be reflected immediately in this report.

- ❖ To see the clients related to data errors agencies will have to run their HUD Data Quality Report when running their CAPER

Personally Identifiable Information (PII): to correct the errors and identify the clients with the PII data errors, run a HUD Data Quality report and open the “Validation Only” file. *(Please see the HUD DQ Manual linked in this document for how to correct data errors)*

6a - Data Quality: Personally Identifiable Information					
Data Element	Client Doesn't Know/Refused	Information Missing	Data Issues	Total	% of Error Rate
Name (3.01)	0	0	0	0	0
Social Security Number (3.02)	0	0	5	5	0.3571
Date of Birth (3.03)	0	0	0	0	0
Race (3.04)	0	0		0	0
Ethnicity (3.05)	0	0		0	0
Gender (3.06)	0	0		0	0
Overall Score				5	0.3571

Data in this table can also be found in table Q2 of the HUD Data Quality Validation files

Health Insurance: Annual Assessments are required for all clients enrolled in a project for more the 365 days. *(The ESG CAPER identifies errors with the Annual Assessment)*

21 Health Insurance			
Health Insurance	Insurance at Start	Insurance at Latest Annual Assessment for Stayers	Insurance at Exit for Leavers
Medicaid	3	0	3
Medicare	1	0	1
State Children's Health Insurance Program	0	0	0
Veteran's Administration (VA) Medical Services	0	0	0
Employer Provided Health Insurance	0	0	0
Health Insurance through COBRA	0	0	0
Private Pay Health Insurance	1	0	1
State Health Insurance for Adults	0	0	0
Indian Health Services Program	0	0	0
Other	0	0	0
No Health Insurance	7	0	7
Client Doesn't Know/Client Refused	0	0	0
Data not Collected	2	0	0
Number of Stayers not yet Required to Have an Annual Assessment		2	
1 Source of Health Insurance	5	0	5
More than 1 Source of Health Insurance	0	0	0

Timeliness: This section of data does not allow for any corrections to be made; however, it does assist in showing where a project currently stands with a CoC's timeline expectation. *(Please see the HUD DQ Manual linked in this document to see HMIS timeliness expectations)*

6e Data Quality: Timeliness - Number of Project Start Records		
A. Time for Record Entry	B. Number of Project Start Records	C. Number of Project Exit Records
0 days	10	12
1-3 Days	3	0
4-6 days	1	0
7-10 days	0	0
11+ days	0	0

Data from this table can also be found in table Q6 of the HUD Data Quality Validation file

Report Validation Table: Be sure to check the Validation table for data quality errors that may not be obviously listed. *(Number of persons with unknown age and/or number of child and unknown-age heads of household will throw errors in the data set)*

5a - Report Validation Table	
Total Number of Persons Served	14
Number of adults (age 18 or over)	14
Number of children (under age 18)	0
Number of persons with Unknown Age	0
Number of leavers	12
Number of adult leavers	12
Number of adult and head of household leavers	12
Total Number of Stayers	2
Number of Adult Stayers	2
Number of Veterans	4
Number of Chronically Homeless Persons	0
Number of youth under age 25	1
Number of parenting youth under age 25 with children	0
Number of Adult Heads of Household	14
Number of child and unknown-age heads of household	0
Heads of households and adult stayers in the project 365 days or more	0

Data from this table can also be found in table Q1 of the HUD Data Quality Validation file

Income and Housing Data Quality: You are required to answer this set of data questions upon creating an Entry/Exit Assessment as well as Annual Assessments. *(Please see the HUD DQ Manual linked in this document for how to correct data errors)*

6c - Data Quality: Income and Housing Data Quality		
Data Element	Error Count	% of Error Rate
Destination (3.12)	0	0
Income and Sources (4.2) at Start	2	0.1429
Income and Sources (4.2) at Annual Assessment	0	0
Income and Sources (4.2) at Exit	0	0

Data from this table can also be found in table Q4 of the HUD Data Quality Validation file

Living Situation: This data should reflect distinct counts of adults and unaccompanied children by their living situation at the time of project start.

15 - Living Situation					
Living Situation	Total	Without Children	With Children and Adults	With Only Children	Unknown Household Type
Homeless Situations					
Emergency shelter, including hotel or motel paid for with emergency shelter voucher, or RHY-funded Host Home shelter	6	6	0	0	0
Transitional housing for homeless persons (including homeless youth)	1	1	0	0	0
Place not meant for human habitation	4	4	0	0	0
Subtotal	11	11	0	0	0
Institutional Settings					
Hospital or other residential non-psychiatric medical facility	1	1	0	0	0
Jail, prison, or juvenile detention facility	0	0	0	0	0
Subtotal	1	1	0	0	0
Other Locations					
Client Doesn't Know/Client Refused	0	0	0	0	0
Data Not Collected	2	2	0	0	0
Subtotal	2	2	0	0	0
Total	14	14	0	0	0

- ❖ The ESG CAPER shows some data that the CoC APR does not (Gender by Age Ranges- Q10d, Length of Participation – ESG Projects -Q22a2, Length of Participation by Household Type- Q22d, Homelessness Prevention Housing Assessment at Exit- Q24)

HOW TO READ THE ESG CAPER- FOR OUTCOMES

Providers can also use the ESG CAPER report to review and monitor project outcomes. Below are a few examples of outcomes to look for.

Length of Participation: When determining a client's length of stay, refer to the HMIS Reporting Glossary (linked in this document). A client's length of stay should be recorded based on the intervals shown in this table, including if they were a leaver or a stayer in the project.

22a2 - Length of Participation - ESG Projects			
Length of Participation - ESG Projects	Total	Leavers	Stayers
0 to 7 days	12	12	0
8 to 14 days	0	0	0
15 to 21 days	0	0	0
22 to 30 days	0	0	0
31 to 60 days	0	0	0
61 to 90 days	0	0	0
91 to 180 days	2	0	2
181 to 365 days	0	0	0
366 to 730 days (1-2 Yrs)	0	0	0
731 to 1,095 days (2-3 Yrs)	0	0	0
1,096 to 1,460 days (3-4 Yrs)	0	0	0
1,461 to 1,825 days (4-5 Yrs)	0	0	0
More than 1,825 days (>5 Yrs)	0	0	0
Data Not Collected	0	0	0
Total	14	12	2

Exit Destination: This data can help your agency track exits for Prevention, Street Outreach, and Emergency Shelter.

23c - Exit Destination					
DataElement	Total	Without Children	With Children and Adults	With Only Children	Unknown Household Type
Permanent Destinations					
Rental by client, with RRH or equivalent subsidy	2	2	0	0	0
Rental by client, with HCV voucher (tenant or project based)	1	1	0	0	0
Subtotal	3	3	0	0	0
Temporary Destinations					
Emergency shelter, including hotel or motel paid for with emergency shelter voucher, or RHY-funded Host Home shelter	7	7	0	0	0
Staying or living with friends, temporary tenure (e.g. room, apartment or house)	1	1	0	0	0
Place not meant for habitation (e.g., a vehicle, an abandoned building, bus/train/subway station/airport or anywhere outside)	0	0	0	0	0
Subtotal	8	8	0	0	0
Institutional Settings					
Hospital or other residential non-psychiatric medical facility	1	1	0	0	0
Subtotal	1	1	0	0	0
Total	12	12	0	0	0
Total persons exiting to positive housing destinations	3	3	0	0	0
Total persons whose destinations excluded them from the calculation	1	1	0	0	0
Percentage	0.2727	0.2727	0	0	0

RRH Length of Time between Project Start Date and Housing Move-in Date: The data in this table can assist agencies in determining how long it takes to find client's permanent housing.

22c - RRH Length of Time between Project Start Date and Housing Move-in Date					
Length of Time between Project Start Date and Housing Move-in Date	Total	Without Children	With Children and Adults	With Only Children	Unknown Household Type
7 days or less	0	0	0	0	0
8 to 14 days	0	0	0	0	0
15 to 21 days	0	0	0	0	0
22 to 30 days	0	0	0	0	0
31 to 60 days	0	0	0	0	0
61 to 180 days	0	0	0	0	0
181 to 365 days	0	0	0	0	0
366 to 730 days (1-2 years)	0	0	0	0	0
Total (persons moved into housing)	0	0	0	0	0
Average length of time to housing	0	0	0	0	0
Persons who were exited without move-in	0	0	0	0	0
Total Persons	0	0	0	0	0

Homeless Prevention Assessment at Exit: The data in this table is divided by household type and looking at permanent and temporary locations.

24 - Homeless Prevention Housing Assessment at Exit					
Data Element	Total	Without Children	With Children and Adults	With Only Children	Unknown Household Type
Able to maintain the housing they had at project entry--Without a subsidy	0	0	0	0	0
Able to maintain the housing they had at project entry--With the subsidy they had at project entry	0	0	0	0	0
Able to maintain the housing they had at project entry--With an on-going subsidy acquired since project entry	0	0	0	0	0
Able to maintain the housing they had at project entry--Only with financial assistance other than a subsidy	0	0	0	0	0
Moved to new housing unit--With on-going subsidy	0	0	0	0	0
Moved to new housing unit--Without an on-going subsidy	0	0	0	0	0
Moved in with family/friends on a temporary basis	0	0	0	0	0
Moved in with family/friends on a permanent basis	0	0	0	0	0
Moved to a transitional or temporary housing facility or program	0	0	0	0	0
Client became homeless - moving to a shelter or other place unfit for human habitation	0	0	0	0	0
Client went to jail/prison	0	0	0	0	0
Client Died	0	0	0	0	0
Client doesn't know/Client refused	0	0	0	0	0
Data Not Collected (no exit interview completed)	0	0	0	0	0
Total	0	0	0	0	0

SAGE UPLOAD

Once data quality issues are corrected within ClientTrack, agencies can re-run their ESG CAPER to confirm that corrections were successful.

Running ESG CAPER in Sage: You don't have to create an account to upload and run your CAPER in Sage. To upload and run your CAPER in Sage follow these steps:

1. Visit [Sage HMIS Login](#)
2. Select "Test run a report"
3. Select "CSV-CAPER FY2020" from the dropdown menu
4. Select "Choose File" and upload your ESG CAPER ***Tip: Save your CAPER as a .zip file***
5. Select "I'm not a robot" then "Upload and Test" **if your file has any errors Sage will prompt you of the errors that need to be fixed before accepting the upload**
The results will populate and Sage will prompt you to review 'Project Identifiers' and 'Report Validations'
6. One you verify these items are correct select "Create Report"
7. Your ESG CAPER is now ready for viewing/printing

Step 1

Step 2:

Please select a report that you wish to test from the dropdown list below:

CSV-CAPER FY2020 ▾

Test a CSV-CAPER FY2020

Sage requires a CSV-CAPER generated by your HMIS (or comparable data base for DV providers) in a .zip file, to be uploaded to the system. Follow the steps below to test your CSV-CAPER file and/or to create a printable version of your CSV-CAPER.

1. Download the CSV-CAPER from your HMIS or comparable database and save it to your computer. Remember where you place it – so you can find it.
2. Click the browse button below. Your computer's file directory will appear. Find the CSV-CAPER Report you saved and double click on it.
3. Check the box next to "I am not a Robot" and complete the verification steps if necessary.
4. Click on "Upload and Test" button to upload the file from your computer to Sage.
5. A results message will show:


If there are no errors in the file Sage will tell you the CSV passed. Click the "Create Report" button and Sage will produce a printable version of your CAPER.

If there are errors, you will need fix the problem(s) in your HMIS or comparable database and download a new CSV-CAPER.

You can enter your email address and click "Go" if you want a copy of the errors sent to you. Refer to the Sage guidebook in the Resources tab for additional instructions.

6. If you want to test another CSV, repeat the process outlined above.

Choose File CAPER Sage Test Export.zip


 I'm not a robot



Upload and Test

Step 3:

Results

 The upload has passed all validations.

Review the Project Identifiers and Report Validations, then click 'Create Report'.

STEP 1: Verify this is the correct project for the correct date range

Q4a. Project Identifiers

Organization name	Organization ID	Project name	Project ID	HMIS Project Type	Method of tracking ES	If HMIS Project ID = 6 (\$ Only) is the Services Only (HMIS Project Type 6) affiliated with a residential project?	Identify the Project ID's of the housing projects this project is affiliated with	CoC Number	Geocode	Victim Service Provider	HMIS Software Name	Report Start Date	Report End Date
City of Atlanta CoC				1	0			GA-500	130174	False	ClientTrack by Eccovia Solutions	9/1/2019	9/1/2020

Step 4:

STEP 2: Review the number of clients being reported on to be sure you have the correct data in the CSV

Q5. Report Validations	
Category	Count
1. Total number of persons served	2
2. Number of adults (age 18 or over)	2
3. Number of children (under age 18)	0
4. Number of persons with unknown age	0
5. Number of leavers	0
6. Number of adult leavers	0
7. Number of adult and head of household leavers	0
8. Number of stayers	2
9. Number of adult stayers	2
10. Number of veterans	0
11. Number of chronically homeless persons	0
12. Number of youth under age 25	0
13. Number of parenting youth under age 25 with children	0
14. Number of adult heads of household	2
15. Number of child and unknown-age heads of household	0
16. Heads of households and adult stayers in the project 365 or more days	2

STEP 3: Create the report if everything is correct

Create Report

Step 5:

Results

✓ This CAPER FY2020 is now ready for printing.

[VIEW THIS REPORT](#)

Test another upload