Subrecipient Instructions

All ESG subrecipients (providers) must provide a CSV-ESG CAPER 2017 Report from their HMIS or comparable database system to report on their performance and outcomes. Subrecipients are required to submit this report for all ESG-funded projects. If a subrecipient receives ESG funding from multiple recipients, then they must submit the CSV-ESG CAPER 2017 Report to each recipient (city, state, county, or territory which subawarded the funding) for each project according to funding source. See the ESG Program HMIS Manual if you have questions about HMIS project setup for projects funded by multiple ESG recipients.

Unlike the CoC's Annual Performance Report, the CSV-ESG CAPER 2017 Report may not be run for multiple projects. Subrecipients must submit a separate report for each project.

Receiving the email and your submission link

The recipient will enter information in *Sage* to generate emails for each project funded during the program year. The email will include a hyperlink, unique to each project, that you will use to submit your CSV-ESG CAPER 2017 Report in *Sage*. Once in *Sage,* the report is directly accessible to the recipient. If you received ESG funding to carry out multiple projects, you will receive multiple emails (one email for each project). If you were funded by multiple ESG recipients, you will receive a separate email for each project from each recipient.

- This email link is the only method which may be used to submit the CSV-ESG CAPER 2017 Report – you may not email the report or submit the information to the recipient in any other way.
- It is the subrecipient's responsibility to ensure that their email system will receive messages from *Sage*. *Sage* emails are sent from sage@sagehmis.info. Adding the address to your safe sender list and contacts may help ensure you receive all emails.

Generating the CSV-ESG CAPER 2017 Report

Report Generation. The CSV-ESG CAPER 2017 Report must be generated by your HMIS or, if you are a domestic violence provider under VAWA or a legal service provider, comparable database. The report is not designed to be hand calculated. No forms of submission other than the CSV-ESG CAPER 2017 Report, as specified in the CoC APR and ESG CAPER HMIS Programming Specifications, will be accepted. Please contact your HMIS Lead Agency for support with generating the report from your HMIS.

Exceptions. If your system cannot generate the report, your recipient may elect to grant you a one-time exception. These exceptions are limited to subrecipients participating in an HMIS or comparable database that cannot generate the correct CSV file. If you require an exception, please contact your ESG recipient as soon as possible and discuss your specific situation with

them. You will be required to submit a plan to your recipient explaining how you will ensure that your HMIS or comparable database will generate CSV-ESG CAPER 2017 Report by the next reporting period.

Reporting Period. The ESG recipient's program year is the reporting period provided in your Submission Link. You must generate your CSV-ESG CAPER 2017 Report using those start and end dates.

This link may only be used to upload the CSV-CAPER 2017 Report for:			
Organization Name:	Safe Shelter	**Project Type:**	Emergency Shelter
Project Name:	Shelter A	**Program Year:**	7/1/2016 to 6/30/2017

Uploading the CSV-ESG CAPER 2017 Report

The submission link you received via email will take you directly to an upload page showing information about the particular project associated with the link followed by upload instructions.

ESG: Albany - NY has provided you this link to upload your annual ESG Report that your recipient will submit to HUD as part of their Consolidated Annual Perfomance Evaluation Report (CAPER). Your annual ESG Report uploaded in Sage must be generated by your HMIS or comparable database named: "CSV-CAPER 2017 Report". Please follow these steps to upload your report:

1. Generate your CSV-CAPER 2017 Report from your HMIS or comparable data base for the program year shown above.

2. Save the file in a place where you can find it easily. The file must be locked so you cannot change any data in the file, or it will not upload into Sage.

3. Click on the Browse… button below. Your computer's file directory will appear. Find the CSV-CAPER Report you saved and double click or open it. This will make your file available to Sage, and you will see the name of the file next to Browse.

4. Check the box next to "I am not a Robot" and follow the verification steps if necessary.

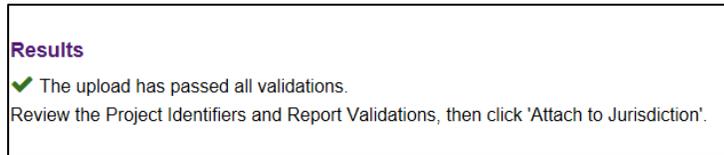5. Click on the green "Upload Caper" button.

Browse...

I'm not a robot — reCAPTCHA Privacy - Terms

Upload CAPER

Sage uses reCAPTCHA as part of its security. Check the box to indicate you are not a robot, then follow the prompts. reCAPTCHA might generate pictures and instructions for the user to select specific ones or the user can elect to use the audio link to hear cues for the user to enter.

The **Results** message will identify if the **CSV-ESG CAPER 2017 Report** has passed all error checks or if there are errors.
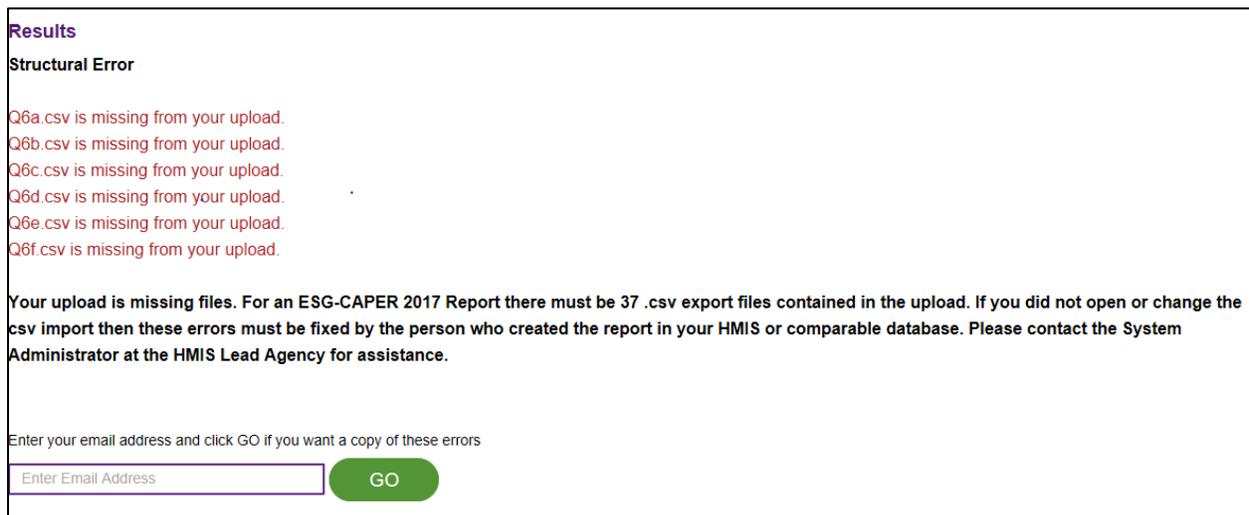
If the upload passes, the following message will appear:

Results

✔ The upload has passed all validations.
Review the Project Identifiers and Report Validations, then click 'Attach to Jurisdiction'.

Sage will also show the information from the CSV-ESG CAPER 2017 Report contained in Q4 and Q5 to help the subrecipient verify that the uploaded project is, in fact, the project they intended to submit:

- Q4: identifies the project descriptor data elements as reflected in the HMIS/comparable database; and

- Q5a: identifies the report validation responses, i.e., the universe of clients being reported on.

If the upload fails, a failure message will be displayed. For example:

Results

Structural Error

Q6a.csv is missing from your upload.
Q6b.csv is missing from your upload.
Q6c.csv is missing from your upload.
Q6d.csv is missing from your upload.
Q6e.csv is missing from your upload.
Q6f.csv is missing from your upload.

Your upload is missing files. For an ESG-CAPER 2017 Report there must be 37 .csv export files contained in the upload. If you did not open or change the csv import then these errors must be fixed by the person who created the report in your HMIS or comparable database. Please contact the System Administrator at the HMIS Lead Agency for assistance.

Enter your email address and click GO if you want a copy of these errors

| Enter Email Address | GO |

The error message identifies what is missing or wrong with the file in red letters followed by a brief explanation of the issue. Send a copy of the error message to staff or your HMIS Lead by entering your email address and pressing **Go**. *Sage* will generate an email of the error message for you.

There are four different kinds of errors:

- **Structural errors**: The files are required to be configured exactly as specified in the CoC APR and ESG CAPER HMIS Programming Specifications. As long as the user did not open and in any way change or save the CSV file, the issue is a programming error within the CSV file structure. The user will receive a message identifying where (e.g., Q9b) and what the issue is. The subrecipient cannot fix these errors; contact your HMIS Lead (or comparable database provider) to request assistance.

- **Report validation errors:** The information contained in the CSV files is generated from an ESG CAPER report that has been programmed into the HMIS or comparable database. The programming for that report is detailed in the CoC APR and ESG CAPER HMIS Programming Specifications. Data for certain questions within the report must validate, or be consistent. For example, if a subrecipient served 100 people in a project, then the report for that project must have basic client information (age, race, etc.) or "Client doesn't know/Client refused" responses for all 100 people. *Sage* compares each question to Q5a, the Report Validation question. If the report is not programmed correctly, the user will see the specific errors flagged (e.g., the total in 7a (495) must be greater than or equal to the sum of adult and child heads of households in Q5a (496)). The screen also displays the report validation table (Q5a) generated in the CSV-ESG CAPER 2017 Report for a quick reference. When using a CSV export created by the HMIS or comparable database, reporting errors are generally the result of programming errors.

- **Tip**: For either structural or report validation errors, the HMIS Lead will need to contact the CSV-ESG CAPER 2017 Report programmer. The recipient will have to wait for the error to be fixed before it can proceed with the CAPER submission.

- **Other errors:** These errors are generally caused by the subrecipient and are correctable by them. They include the following:

  - The file uploaded does not read as a zip file. Either the report was not placed in a zip file or you are attempting to upload a file which is not in .csv format. *Sage* cannot accept pdf, word or excel files. **Solution:** Check the file to be sure it is zipped (i.e. in a folder that has a zipper on it) and that it in fact contains .csv files in it.
  - You have uploaded a file *Sage* believes may have client-level data in it because it is not in the CSV-CAPER 2017 Report format. Make sure you are uploading the CSV-CAPER 2017 Report generated from your HMIS/comparable database.

- **Project typing errors**: The file being uploaded from the HMIS must have the correct project type in Q4.

  The project type in your HMIS or comparable database and the project type the ESG recipient entered into *Sage* must match exactly. Check the email containing the submission link to identify the project type your ESG recipient entered into *Sage*. If the email identifies a project type that is different from the way your project is set up in the HMIS/comparable database, contact your recipient to correct this error. If the email is correctly identifying your project type – but the HMIS is wrong, contact the System Administrator at the HMIS Lead Agency for help.

  Detailed information about project typing and system set-up can be found in the ESG Program HMIS Manual located on the HUD Exchange.

- **Printing a Report:** *Sage* will not enable you to print from the link. However, you may use the testing functionally built into *Sage*, at any time, and using any date-range to produce your own ESG CAPER Report.

CSV ESG CAPER Validation Table

	Question Name	Validating to Column/Row	Equation		Validation Table
6a	Data Quality: Personally Identifiable Information	None			
6b	Data Quality: Universal Data Elements	None			
6c	Data Quality: Income and Housing Data	None			
6d	Data Quality: Chronic Homelessness	None			
6e	Data Quality: Timeliness	None			
6f	Data Quality: Inactive Records: Street Outreach and Emergency Shelter	None			
7a	Number of Persons Served	Total/Total	Equals		1 Total number of persons served
8a	Number of Households Served	Total/Total	Equals	Sum of	14. Number of Adult HoH + 15. Number of Child & Unknown HoH
8b	PIT Count of Households	None			
9a	Number of Persons Contacted	None			
9b	Number of Persons Engaged	All Persons Contacted/Total Persons Engaged			
10a	Gender of Adults	Total/Subtotal	Equals		2 Number of adults (age 18 or over)
10b	Gender of Children	Total/Subtotal	Equals		3 Number of children (under age 18)
10c	Gender of Persons Missing Age Info	Total/Subtotal	Equals		4 Number of persons with unknown age
10d	Gender by Age Ranges	None	Equals		1 Total number of persons served
11	Age	Total/Total	Equals		1 Total number of persons served
12a	Race	Total/Total	Equals		1 Total number of persons served
12b	Ethnicity	Total/Total	Equals		1 Total number of persons served
13a1	Physical and Mental Health Conditions at	None			
13b1	Physical and Mental Health Conditions at	None			
13c1	Physical and Mental Health Conditions for Stayers	None			
14a	Domestic Violence History	Total/Total	Equals	Sum of	2. Number of adults + 15. Number of child and unknown age HoH
14b	Number of Persons Fleeing DV	None			
15	Living Situation	Total/Total	Equals	Sum of	2. Number of adults + 15 Number of child and unknown age HoH
20a	Type of Non-Cash Benefit Sources	None			
21	Health Insurance	None			
22a2	Length of Participation – ESG Projects	Total/Total	Equals		1 Total number of persons served
22c	RRH Length of Time between Project Start Date and Housing Move-in Date	Total/Total	Less than or equal to		1 Total number of persons served
22d	Length of Participation by Household Type	Total/Total	Equals		1 Total number of persons served
23a	Exit Destination - More Than 90 Days (RRH Only)	Total/Total	Less than or equal to		5 Total Leavers
23b	Exit Destination - 90 Days or Less (RRH Only)	Total/Total	Less than or equal to		5 Total Leavers
23c	Exit Destination – All Persons (Non-RRH)	Total/Total	Equals		5 Total Leavers
24	Homelessness Prevention Housing Assessment at Exit (HP Only)	Total/Total	Equals		5 Total Leavers
25a	Number of Veterans	Total/CH Vet + Non-CH Vet	Equals		10 Number of veterans
26b	Number of CH Persons by Household	Total/Total	Equals		11 Number of chronically homeless persons