

# ESG CAPER

**Anna Carvlin**, System Implementation Specialist  
with All Chicago

&

**Cyndi Rivera**, Assistant to the Commissioner |  
Homeless Division, City of Chicago



# Agenda

- Reporting Overview
- Review of ESG-CAPER Report in HMIS
- Missing data and errors
- Making corrections
- Downloading results for submission to DFSS
- Uploading to SAGE

# Overview



# Reporting Overview

All agencies that have received funding through the Emergency Solutions Grants (ESG) are required to submit a Consolidated Annual Performance and Evaluation Report (CAPER)

- DFSS and all its sub-grantees required to report
- Time frame for report will be **1/1/2018 - 12/31/2018**



# Reporting Overview: General Process

- 1/29: Cyndi Rivera sends out submission links
- 2/11: 2nd webinar with a concentration on a Q&A session
- 2/1 - 2/14: Agencies review results from ESG CAPER, troubleshoot any issues, and attempt uploads to Sage
  - Agencies facing issues they cannot resolve themselves can email [HMIS@AllChicago.org](mailto:HMIS@AllChicago.org) for assistance
- 2/15: Final day to upload to Sage
- 3/1: DFSS will confirm agencies uploaded files to Sage

# HMIS

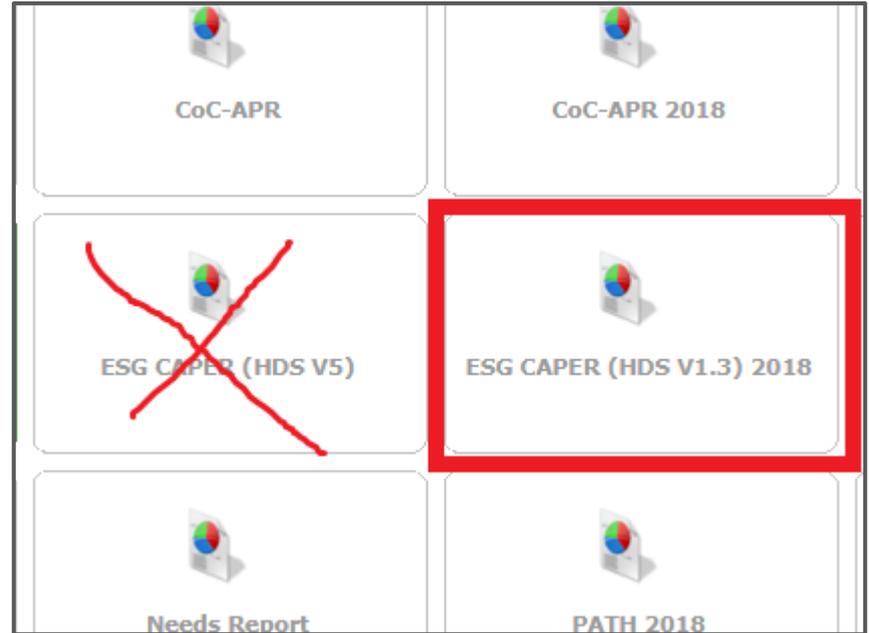
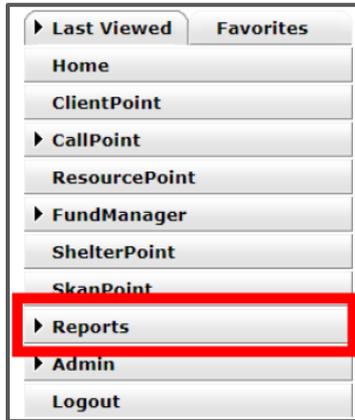


# Running the ESG CAPER Report in HMIS

- How to run the report
- Interpreting the data presented
- Identifying missing data and errors
- Downloading results for submission to Sage

# Running the ESG CAPER Report in HMIS

Anyone with an HMIS account at your agency will be able to run the report.



# Running the ESG CAPER Report in HMIS

After clicking the “ESG CAPER (HDS V1.3 2018)”, you will see a prompt. You should select the following:

- Provider Type: **Provider**
- Provider: “Agency - Program”
- Program Date Range: **1/1/2018 - 12/31/2018**
- Entry/Exit Types: **HUD**

# Running the ESG CAPER Report in HMIS

## Report Options

Provider Type	<input checked="" type="radio"/> <a href="#">Provider</a> <input type="radio"/> <a href="#">Reporting Group</a>
<b>Provider *</b>	All Chicago (1) <input type="button" value="Search"/> <input type="button" value="My Provider"/> <input type="button" value="Clear"/> <input type="radio"/> <a href="#">This provider AND its subordinates</a> <input type="radio"/> <a href="#">This provider ONLY</a>
<b>Program Date Range *</b>	01 / 01 / 2018 <input type="button" value="🗑️"/> <input type="button" value="🔄"/> <input type="button" value="🗑️"/> to 12 / 31 / 2018 <input type="button" value="🗑️"/> <input type="button" value="🔄"/> <input type="button" value="🗑️"/>
<b>Entry/Exit Types *</b>	<input type="checkbox"/> <a href="#">Basic</a> <input type="checkbox"/> <a href="#">Basic Center Program Entry/Exit</a> <input checked="" type="checkbox"/> <a href="#">HUD</a> <input type="checkbox"/> <a href="#">PATH</a> <input type="checkbox"/> <a href="#">Quick Call</a> <input type="checkbox"/> <a href="#">RHY</a> <input type="checkbox"/> <a href="#">Sta</a>
<input type="button" value="Build Report"/>	<input type="button" value="Download"/> <input type="button" value="Clear"/>

Click "Build Report"

# Navigating the ESG CAPER

The ESG CAPER has 26 questions that total 37 questions and sub-questions.

Find a listing of all the sections here: <https://hmis.allchicago.org/hc/en-us/articles/360000285926-Running-and-Interpreting-the-ESG-CAPER-Report-in-HMIS#sections>

# Navigating the ESG CAPER

All the numbers in the report in [Blue](#) are hyperlinked. When you click on any given number, a listing of client names will appear.

5a - Report Validation Table	
Report Validation Table	
1. Total Number of Persons Served	27
2. Number of Adults (age 18 or over)	15
3. Number of Children (under age 18)	3
4. Number of Persons with Unknown Age	9
5. Number of Leavers	5
6. Number of Adult Leavers	2
7. Number of Adult and Head of Household Leavers	2
8. Number of Stayers	22
9. Number of Adult Stayers	13
10. Number of Veterans	2
11. Number of Chronically Homeless Persons	7
12. Number of Youth Under Age 25	0
13. Number of Parenting Youth Under Age 25 with Children	0

Click the number

Clicking the name pops up a list of clients

Clients in answer cell	
5a - Report Validation Table	
5. Number of Leavers	
ID	Client
409316	Cohen, Leonard
326695	Creed, Apollo
418020	Epstein, Baby
306588	Epstein, Theo
308444	Sveum, Dale

Showing 1-5 of 5

Download Results Exit

# Let's Run the Report



# Missing Data and Errors



# What needs to be fixed

For the ESG CAPER to be successfully uploaded to SAGE, you should ensure two things:

- The amount of clients listed in **Section 5** matches the amount of clients you actually served
- Clients must have their entire information (or at the very least have “Client doesn’t know/Client refused”)
  - Listed in Section 6 - Data Quality
  - This includes: Name, SSN, DoB, Race, Ethnicity, Gender, Vet Status, Project Start Date, Relationship to Head of Household, Client Location, Disabling Condition

# Section 5a: Are your numbers accurate?

Section 5a lists the general amount of clients served, further broken down by adults and children.

Make sure the numbers match how many you have served between the period of 1/1 - 12/31/2018.

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10. Number of Veterans	2
11. Number of Chronically Homeless Persons	7
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	7
15. Number of Child And Unknown-Age Heads of Household	0
16. Heads of Households and Adult Stayers in the Project 365 Days or More	11

# Section 6a & b: Data Errors

Any clients with missing information, data issues, or under error counts MUST be fixed.

Oftentime, it means a question was unanswered in the entry assessment.

6a - Data Quality: Personally Identifiable Information				
Data Element	Client Doesn't Know/Client Refused	Information Missing	Data Issues	% of Error Rate
Name (3.1)	0	0	0	0%
SSN (3.2)	0	8	2	37%
Date of Birth (3.3)	0	9	1	37%
Race (3.4)	2	11		48%
Ethnicity (3.5)	3	11		52%
Gender (3.6)	0	10		37%
<b>Overall Score</b>				<b>70%</b>

6b - Data Quality: Universal Data Elements		
Data Element	Error Count	% of Error Rate
Veteran Status (3.7)	4	27%
Project Start Date (3.10)	0	0%
Relationship to Head of Household (3.15)	20	74%
Client Location (3.16)	1	14%
Disabling Condition (3.8)	17	63%

# Making Corrections



# Fixing Errors

These errors show either:

- Questions not answered in the “Client Profile Tab”
- Questions not answered in the “Entry (Project Start Date) Assessment”

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# Fixing Errors

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Client Location (3.16)	1	14%
Disabling Condition (3.8)	17	63%

**Clients in answer cell**

6b - Data Quality: Universal Data Elements  
Error Count

ID	Client
326694	Adrian, Adrian
326693	Goldmill, Mickey
285825	test, bowman
370191	test, test

Showing 1-4 of 4

Download Results      Exit

To get a running list of clients to fix, you can click the blue number.

In the example to the right, all clients have an issue with their veteran status.

# Fixing Errors: Veterans Example in Client Profile

To answer Veteran Status, Name, Social Security question, you need to go to the client's record.

From the Summary Page, go to the Client Profile, then click the pencil next to Client Record.



Client - (326693) Goldmill, Mick

(326693) Goldmill, Mickey

Release of Information: Ends 06/06/2019

**Client Information**

Summary **Client Profile** Households R

A red box highlights the 'Client Profile' tab, and a red arrow points from it to the right-hand screenshot.



 **Client Record**

Name	Goldmill, Mickey
Name Data Quality	
Alias	
Social Security	555-55-5555
SSN Data Quality	Full SSN Reported (HUD)
U.S. Military Veteran?	
Age	78

A red box highlights the pencil icon, and another red box highlights the 'U.S. Military Veteran?' field.

# Fixing Errors: Veterans Example in Client Profile

Clicking the pencil opens the prompt below, where you can answer any unanswered questions.

The screenshot shows a 'Client Record' form with a warning message: 'Editing the Client Record Information could affect the Unique ID and the Client Search.' The form contains the following fields:

Name	First	Middle	Last	Suffix
	Mickey		Goldmill	

Other fields include:

- Name Data Quality: -Select-
- Alias: [Empty]
- Social Security: 555 - 55 - 5555
- SSN Data: Full SSN Reported (HUD)
- U.S. Military Veteran?: Yes (HUD) (highlighted in a red box)

A red callout box points to the 'Name Data Quality' dropdown with the text: "Name Data Quality" also needs to be answered.

Buttons: Save, Cancel

# Fixing Errors: Race Example in Entry Assessment

As another example, let's assume our report says there is information missing on the client's race.

6a - Data Quality: Personally Identifiable Information		
Data Element	Client Doesn't Know/Client Refused	Information Missing
Name (3.1)	0	0
SSN (3.2)	0	8
Date of Birth (3.3)	0	9
Race (3.4)	2	11
Ethnicity (3.5)	3	11
Gender (3.6)	0	10
<b>Overall Score</b>		

Clients in answer cell	
6a - Data Quality: Personally Identifiable Information Information Missing	
ID	Client
397671	aleiei, test
326692	Balboa, Rocky
330052	Balboa, Rocky Jr.
409821	Child, Test

# Fixing Errors: Race Example in Entry Assessment

As another example, let's assume our report says there is information missing on the client's race.

The image shows two screenshots from a web application. The left screenshot displays the client profile for '(397671) aleiei, test'. The 'Entry / Exit' section contains a table with one entry: 'All Chicago - Emergency Shelter (883)' of type 'HUD' starting on '05/05/2017'. A red box highlights the edit icon in the 'Project Start Date' column, with a red arrow pointing to the right screenshot.

The right screenshot shows the 'Household Data Sharing' form for the same client. The 'Primary Race' dropdown menu is highlighted with a red box and contains the text '-Select-'. Other fields include 'Relationship to Head of Household' (Self (head of household)), 'Client Location' (IL-511), 'Date of Birth' (02 / 24 / 1999), 'Date of Birth Type' (Full DOB Reported (HUD)), 'Secondary Race' (-Select-), 'Ethnicity' (Hispanic/Latino (HUD)), and 'Gender' (Male).

Program	Type	Project Start Date
All Chicago - Emergency Shelter (883)	HUD	05/05/2017

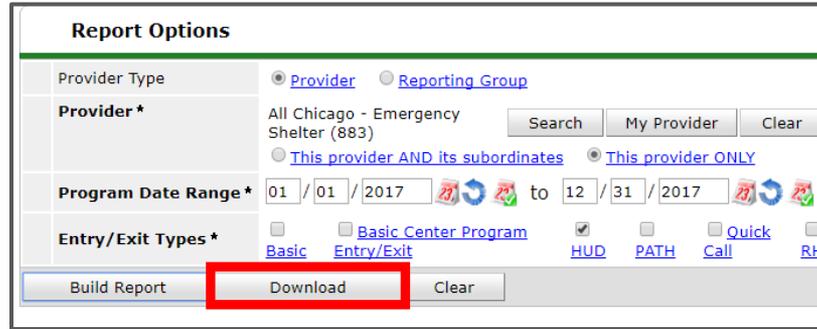
Field	Value
Relationship to Head of Household	Self (head of household)
Client Location	IL-511
Date of Birth	02 / 24 / 1999
Date of Birth Type	Full DOB Reported (HUD)
Primary Race	-Select-
Secondary Race (answer only if applicable)	-Select-
Ethnicity	Hispanic/Latino (HUD)
Gender	Male

**Live Demo**

# Downloading your Report

# Downloading your Report

After reviewing your report, you must download the results.



The screenshot shows a web form titled "Report Options". It contains several sections: "Provider Type" with radio buttons for "Provider" (selected) and "Reporting Group"; "Provider \*" with the text "All Chicago - Emergency Shelter (883)" and buttons for "Search", "My Provider", and "Clear"; "Program Date Range \*" with date pickers for "01 / 01 / 2017" and "12 / 31 / 2017"; and "Entry/Exit Types \*" with checkboxes for "Basic", "Entry/Exit", "Basic Center Program", "HUD", "PATH", "Quick", and "Call". At the bottom, there are three buttons: "Build Report", "Download" (highlighted with a red box), and "Clear".

This will download a folder, each filled with several CSV files. This folder is what you will be uploading to SAGE.



# Uploading to SAGE

# Uploading to SAGE

- Everyone will receive an upload link
- No SAGE account required, just the upload link
- When you follow through the link, you will see:

██████████ has provided you this link to upload your annual ESG Report that your recipient will submit to HUD as part of their Consolidated Annual Performance 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 Capar" button.

██████████

- Click on Browse, and select the ZIP folder you downloaded from HMIS
  - YOU DO NOT NEED TO CHANGE ANYTHING IN THIS ZIP FOLDER

# Successful Upload

A successful upload will show:

## Results

✓ The upload has passed all validations.

Review the Project Identifiers and Report Validations, then click 'Attach to Jurisdiction'.

# Unsuccessful Upload

If your upload fails, something like this will appear:

**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

# Unsuccessful Upload

- Make sure you didn't touch the ZIP file
- Reduce all "Error Counts" and "Information Missing" portions
- If you are still unable to upload, email [HMIS@AllChicago.org](mailto:HMIS@AllChicago.org) with the following details:
  - The kind of error you are seeing
    - Structural or Report Validation
  - Your project name

# Recap

- Run your ESG CAPERs this week
- Make sure the ESG CAPER has ZERO “**Error Counts**” and “**Information Missing**” sections
- Upload your ESG CAPER by Friday February 15th
  - If your Upload is successful, please email Cyndi Rivera ([Cyndi.Rivera@cityofchicago.org](mailto:Cyndi.Rivera@cityofchicago.org)) and [HMIS@allchicago.org](mailto:HMIS@allchicago.org) with confirmation
  - If the upload was unsuccessful, please let fix all errors and missing information and try again
    - If the issue persists, email [HMIS@allchicago.org](mailto:HMIS@allchicago.org)

# Resources

- ESG CAPER Section on Helpdesk
  - Articles included are:
    - = [Running and Interpreting the ESG CAPER Report in HMIS](#)
    - = [Uploading Your ESG CAPER to Sage](#)
- Have an issue? [Submit a ticket to the Helpdesk](#), or email [HMIS@allchicago.org](mailto:HMIS@allchicago.org)
- Anna Carvlin - [acarvlin@allchicago.org](mailto:acarvlin@allchicago.org)
- Cyndi Rivera - [Cyndi.Rivera@cityofchicago.org](mailto:Cyndi.Rivera@cityofchicago.org)